

DRAFT – NOT FOR IMPLEMENTATION

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Pamphlet 25-XX

Information Management

Guide to Recordkeeping within the Army

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| <p>By Order of the Secretary of the Army:</p> <p><b>PETER J. SCHOOMAKER</b><br/>General, United States Army<br/>Chief of Staff</p> <p>Official:</p> <p><b>SANDRA R. RILEY</b><br/>Administrative Assistant to the<br/>Secretary of the Army</p> <p><b>History.</b> This publication is a new Department of the Army pamphlet.</p> <p><b>Summary.</b> This pamphlet provides operational procedures and guidelines for recordkeeping within the Army; it is to be used with AR 25-400-2.</p> <p><b>Applicability.</b> This pamphlet applies to the Active Army, the Army National Guard (ARNG), and the U.S. Army Reserve (USAR). During mobilization, procedures in this publication can be modified to support policy changes as necessary.</p> | <p><b>Proponent and exception authority.</b> The proponent for this pamphlet is the Administrative Assistant to the Secretary of the Army. The proponent has the authority to approve exceptions or waivers to this pamphlet that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this pamphlet by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through higher headquarters to the policy proponent. Refer to AR 25-30 for specific guidance.</p> | <p><b>Suggested Improvements.</b> Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Army Records Management and Declassification Agency (ARMDA) (JDRP-RDR-R, 7701 Telegraph Road, Alexandria, VA 22315-3860.</p> <p><b>Distribution:</b> Distribution of this publication is available in electronic media only and is intended for command levels A, B, C, D, and E for the Active Army, the Army National Guard, and the U.S. Army Reserve.</p> |
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## **Chapter 1**

### **Introduction**

#### **1-1. Purpose**

This pamphlet provides the procedures for implementing policy contained in AR 25-400-2, The Army Records Information Management System (ARIMS). It provides operational procedures for the maintenance and disposition of Army information, which encompasses identifying records, managing the various types of records media, applying disposition instructions, scheduling records, using the ARIMS software application, records transfer and retirement, reference procedures and services, records disposition, records holding areas, Federal records centers, and records management program evaluations. **This guide specifically addresses those duties performed by the records management officials in dealing with the recordkeeping subprogram of the Army records management program.**

#### **1-2. References**

Required and related publications and referenced forms are listed in appendix A.

#### **1-3. Explanation of abbreviations and terms**

Abbreviations and special terms used in this pamphlet are explained in the glossary.

#### **1-4. Prescribing directive**

Army Regulation 25-400-2 governs the maintenance and disposition of Army information and provides policy on managing information from its creation through final disposition according to Federal laws and Army recordkeeping requirements. The ARIMS website at <https://www.arims.army.mil> provides tools to facilitate carrying out these requirements.

#### **1-5. Statutory authority**

The Federal Records Act of 1950, as amended, contains the statutory authority for the ARIMS program. The General Services Administration (GSA) and the National Archives and Records Administration (NARA) share the Government-wide responsibility for Federal recordkeeping. GSA portions of the Federal Records Act are implemented in the Federal Management Regulations located in 41 Code of Federal Regulations (CFR), Chapter 102, subchapter G; and NARA portions are implemented in 36 CFR, Chapter XII, subchapter B. These are, in turn, implemented by Army regulations.

#### **1-6. Functions**

##### *a. Office of the Administrative Assistant to the Secretary of the Army (OAASA).*

(1) The OAASA, is the functional proponent for ARIMS. The OAASA, is responsible for ARIMS and promulgates policy on recordkeeping practices within the Army and for joint, unified, and specified commands for which the Army is designated the executive agent.

(2) The AASA, serves as Archivist of the Army and senior policy official for the Army Records Management Program.

*b. Principal Headquarters, Department of the Army (HQDA) officials.*

(1) Principal HQDA officials are the proponents for all recordkeeping requirements necessary to conduct business in their functional areas.

(2) Principal HQDA officials ensure that recordkeeping requirements are accurate, essential, and current and are contained in the publications that govern how the Army conducts business in their functional areas and ensures that recordkeeping requirements for their functional areas are provided to the AASA in a timely manner.

*c. Army Records Management and Declassification Agency (ARMDA).*

(1) The ARMDA has operational responsibility (as determined by the OAASA) for records management and its subprograms. As such, the ARMDA develops and manages the processes and procedures that ensure the Army, according to law, creates and preserves adequate and proper documentation of its operations. Documenting Army decisions, operations and daily business:

(a) Protects the Government and individuals.

(b) Substantiates the rights, interests and claims of soldiers and veterans.

(c) Preserves information that may be of historical value.

(d) Makes information available to the public about the Army.

(e) Provides lessons learned for current and future planning and decision-making.

(2) The ARMDA also develops the ARIMS policy and procedures and maintains and administers the ARIMS program.

*d. Records management officials.*

(1) Records management officers or officials, referred to as records administrators, records managers, and record coordinators, manage, oversee, direct and evaluate the records management program for the Army staff agency, major Army command (MACOM), field activity, or installation to which they are assigned. Records management officers help ensure that permanently valuable information is preserved and all other record information is retained, reviewed and disposed of systematically under AR 25-400-2.

(2) AR 25-1, Army Knowledge Management and Information Technology, requires that records administrators and records managers be appointed in writing. A copy of these appointment memorandums will be provided to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860.

*e. Records administrators.*

(1) Records administrators serve at the MACOM level and have command-wide responsibilities for ensuring the creation and preservation of official mission records throughout subordinate units and activities. As such, records administrators:

(a) Manage, oversee and direct the records management recordkeeping subprogram.

(b) Provide policy interpretation, procedural guidance and oversight of the recordkeeping subprogram.

(c) As part of the complete records management program, survey and appraise the agency or command recordkeeping subprogram at least once every three years and prescribe and ensure necessary corrective action is taken.

(d) Oversee, survey and appraise the methods and operations of records holding areas (RHAs) of the agency or command. Maintain liaison and coordinate records transfer, retirement and retrieval with Federal Records Centers (FRCs) and local NARA offices.

(e) Monitor and coordinate records transfer, retirement and retrieval with RHA facilities and the Army Electronic Archives (AEA.)

(f) Maintain liaison with and provide advice and assistance to security managers in developing and executing a program to reduce classified records holdings to the absolute minimum required.

(g) Keep abreast of and/or implement new information technology (IT) for access storage, retrieval and disposition of information. Ensure records management factors are considered for all IT acquisitions.

(2) Records administrators at the regional level performing installation management agency baseline services provide functional program management, procedural guidance, and oversight for the record keeping subprogram IAW AR 25-400-2.

(3) Under ARIMS, the records administrator has the ability to create, modify, and approve Office Records Lists (ORLs) for all units within the MACOM he/she supports, can view all records for every unit within the MACOM, and can, when necessary, process all requests for hardcopy official records and/or access to electronic records under his/her responsible area.

*f. Records Managers.* Records managers may serve at the HQDA level, Major Subordinate Command level, Field Operating Agency, direct reporting unit (DRU), separately authorized activities, tenant organizations, satellite organizations, Installation Management Agency regional levels, and on installation garrison staff with command-wide or organization-wide records management responsibilities. Many of the Army RHAs are also staffed with records managers. Records managers:

(1) Approve ORLs for sub-units.

(2) Serve as local authority for recordkeeping subprogram procedures/issues.

(3) Manage, oversee and direct the command, agency, or installation recordkeeping subprogram.

(4) As part of the complete records management program, survey and appraise the agency, command, or installation recordkeeping subprogram at least once every three years and prescribe and ensure necessary corrective action is taken.

(5) If applicable, manage and provide staff direction for the operation of the RHA. Ensure records are properly arranged and packed prior to movement from the RHA to an FRC. Maintain liaison and coordinate records transfer, retirement and retrieval with the FRCs and local NARA offices.

g. *Records coordinators.* Records coordinators are designated at sub-elements as necessary for program execution. They may:

(1) Develop ORLs for their unit.

(2) Coordinate retirement of T (transfer) records to the RHA.

(3) Serve as the subject matter expert for the unit's records.

(4) Resolve indexing problems with the RHA.

(5) Ensure implementation of recordkeeping procedures throughout their unit.

h. *Action Officers at all levels of command.* An Action Officer is any individual who creates official records on behalf of the Army. The Action Officer has the capability to search the Army's office record instructions to help determine if a document is an official record, create a draft ORL to be maintained for each office symbol within a unit or organization, submit records to the AEA or a designated records holding facility, and search for and request records in ARIMS. The action officer can also view all records submitted to ARIMS internal to the unit. In addition, the Action Officer identifies records as K (keep) (short-term) or T and, for e-records, registers in ARIMS and submits records via the Electronic Capture and Store (ECS) module.

i. *National Archives and Records Administration (NARA).* The NARA is the oversight agency responsible for appraising all Federal records, approving their disposition, providing program assistance and FRC storage, evaluating records management programs, and serving as the final custodian of permanent records. The NARA operates two different types of records facilities.

(1) *Federal records centers (FRCs).* These centers provide temporary storage and reference service for records that are needed infrequently by the creating agency but are not yet eligible for disposal or transfer to the National Archives. Army records stored in an FRC remain in the legal custody of the Army.

(2) *The National Archives.* The National Archives stores the Federal Government's permanent records, which are also known as the National Archives of the United States. When transferring permanent records to the National Archives, agencies also transfer legal and physical custody of the records. The National Archives takes conservation measures needed to preserve the records and also provides reference service, including service to the creating agency.

*j. Service providers.* To achieve efficiency and to maximize use of Army resources, the functions described in this pamphlet may be performed by a contractor or other agency through Memorandum of Agreement (MOA), Memorandum of Understanding (MOU), etc; however, the organization maintains responsibility for its records.

## **1-7. Application of the ARIMS Program**

*a.* The ARIMS applies to:

(1) All unclassified Army record information, including FOR OFFICIAL USE ONLY (FOUO), regardless of format or medium (paper, electronic (e-mail, information system data files/databases, word processing, bit-mapped), microfilm, etc).

(2) All classified Army record information through SECRET. Records that are TOP SECRET may be set up under ARIMS or in any other manner that will make accountability and control easier. Regardless of the arrangement used, however, the disposition instructions in the ARIMS Records Retention Schedule - Army (RRS-A) will be applied to TOP SECRET records. The security classification of a record does not change its retention value.

*b.* The ARIMS does not apply to:

(1) Record copies of international agreements covered under AR 550-51 (except those maintained by the Office of The Judge Advocate General).

(2) Publications and blank forms stocked for filling requisitions.

(3) Reference materials and books in formally organized and officially designated libraries.

(4) Personal or private records maintained in the workplace.

(5) Duplicate copies of documents maintained in the same file.

## **1-8. Principles and concept of the ARIMS.**

*a.* Under the ARIMS, records are identified according to the primary directive that prescribes those records be created, maintained, and used. One only needs to know what the prescribing directive is for a specific program to locate the record/file numbers that should be applied to records created to support that program. For example, records created to support the ARIMS

program would have their numbers based on AR 25-400-2 because that is the prescribing directive for the ARIMS program. For the most part, the record numbers are based on an Army regulation number; however, in the absence of an AR, the number may be based on a DA pamphlet, engineering regulation or some other directive. If no directive can be pinpointed, the number is based on the functional category number under which the program falls (for example, 25 for information management, 40 for medical, etc). See Table 1-1 - Prescribing Directive Functional Categories and Figure 1-1 - Relationship between record numbers and prescribing directives. Only record numbers listed in the ARIMS RRS-A are authorized for use.

*b.* An alpha or alpha-numeric suffix is added to the prescribing directive number to distinguish several records prescribed by a single directive (for example, 27-1a, 27-1b) and to separate between differing agency/office responsibility levels when more than one disposition instruction is needed for the same record title (for example, 27-1a1 Office with Army-wide responsibility; 27-1a2 Other offices).

*c.* The record number, along with the title, authority number, privacy act number (if applicable), description and disposition, make up the complete record instruction.

(1) *Record number.* Record numbers are created as indicated in paragraphs 6-2a and b above.

(2) *Title.* The title is assigned based on the record contents.

(3) *Authority number.* This is the number NARA assigns to the records schedule using Standard Form 115 (SF 115), that approved the disposition for the record. The number identifies it as an Army schedule and the year it was submitted to NARA for approval.

(4) *Privacy Act number.* If the records are being filed under a privacy act system notice, this is the number of that notice.

(5) *Description.* The description identifies the specific type of record authorized for filing under a specific record number.

(6) *Disposition.* The disposition contains the retirement, transfer and destroy or dispose of instructions. It provides instructions on when to destroy, delete, or dispose of short-term records; when and where to retire and destroy, delete or dispose of temporary long-term records, and when and how to transfer permanent records to NARA. Cutoff instructions are generally also provided for permanent records.

*d.* Deviations from the above principle for creating record numbers:

(1) Within each functional category, a record number was created for "general correspondence" files for records that would not normally be filed with a specific records series. These numbers use the functional category numbers as their number. These record numbers should not be used as a "catch-all" place to dump records, as this could result in some records

being destroyed prematurely. Also, program records should never be filed under a general correspondence file number. See glossary for definition of program records.

(2) The record numbers for "Office Administrative Housekeeping Files" also deviate from the ARIMS principle for convenience and accessibility. Housekeeping records use a "1" and an alpha character(s) as their numbers. In determining when it is appropriate to use a housekeeping number for a particular record, remember housekeeping records exist because an office exists, not why an office exists.

*e.* Under the ARIMS, all records are categorized as either "K" or "T" records unless they are identified as unscheduled (U). K is an abbreviation for "Keep" and T is an abbreviation for "Transfer." K and U records are kept within the current files area (CFA); T records are transferred to the RHA, AEA, or FRC. The categories are further defined below:

(1) K Records:

(a) K records are usually short-term temporary records that have no value beyond the business process. They can have retention periods from one day up to and including 6 years.

(b) If the K records are dependent upon an (E)vent occurring before the actual retention period starts, they are further classified as KE records. KE records can end up being kept longer than 6 years because they can be held indefinitely awaiting the occurrence of the event, however, they cannot be kept longer than 6 years after the event occurs.

(c) When K or KE records do not or cannot have a specific time period assigned, they are further defined as KN (keep until no longer needed) or KEN (keep until event occurs and then until NLN) to reflect their flexible retention period. (These were previously referred to as the flexible K6 and KE6. This had to be changed because some records falling into these categories had to be kept for the actual 6 years or 6 years after the event and there was no way to differentiate between the two.)

(d) A KN record is kept until no longer needed (NLN) for business but not to exceed (NTE) 6 years. The retention line on the record label would read: Keep until NLN, NTE 6 years, then destroy.

(e) The retention period for the KEN record starts when the event occurs: An example for a KEN record label retention line would read: Keep until NLN after case is closed, NTE 6 years, then destroy.

(f) When K or KE records have a specific time period they must be kept, the time period is a fixed retention period. (These are records previously approved by NARA for a specific retention period which could not use the KN or KEN flexible retention period. For example, if the approved retention period were 2 years, the record label retention line would read: Destroy in CFA when 2 years old. If there is an event associated with the disposition, the label retention line would read (for example): Destroy in CFA 2 years after case is closed.



(g) All K records (KN, KEN, K5, K3, etc) are kept and destroyed within the CFA. They cannot be transferred to an RHA or the AEA without prior approval from ARMDA.

(2) T Records:

(a) T records are usually long-term records with retention periods over 6 years and up through permanent. For example, a record with a retention period of 6 years, 3 months would be a T record.

(b) T records have a value beyond the business need, such as for legal, historical, research, or lessons learned purposes.

(c) T records are transferred to an Army RHA or the ARIMS AEA when no longer needed for business purposes, where they are destroyed at the end of their retention period, transferred to an FRC (if applicable) or transferred to the National Archives if they are permanent. They do not have to be held for a specific time in the CFA; only long enough to meet the business need which is generally when they are no longer being referenced. Electronic T records may be transferred as soon as the record has been completed. A copy can be maintained locally to meet reference needs; however, any locally retained copy is not to be held any longer than the official record copy maintained by the AEA.

(d) As with the K records, T records are defined as TE records if they have an event associated with their disposition.

(e) The retention period for the T record is added immediately following the T or TE; (for example, T15, TE7, etc).

(f) When the T record has a permanent disposition, it is further defined as a TP or TEP record.

(3) U records

(a) U records are unscheduled records. Unscheduled records have never been formally appraised by NARA which means they do not have an approved disposition. Once unscheduled records have been appraised and the Archivist of the United States approves the disposition, the record category is changed to a K or T, as appropriate.

(b). U records are maintained in the CFA until an approved disposition is received and then the approved disposition is applied. U records cannot be transferred outside the CFA without approval from RMDA.

**1-9. The ARIMS software application**

The ARIMS software application is a web-based toolset to help actions officers, records coordinators, records holding area managers, records managers, and record administrators manage both electronic and hardcopy Army records. ARIMS provides a variety of tools and services designed to reduce the manual processes associated with traditional records

management. One of the system modules (the Records Retention Schedule - Army (RRS-A) contains all of the Army's records retention schedules. The ARIMS software application is covered in more detail in Chapter 6.

#### **1-10. Office records lists**

*a.* Office records lists (ORLs) are lists of record titles/record numbers used within a specific office as an aid in identifying records used within the organization to support its business processes and housekeeping/administrative functions, as well as identifying long-term and permanent mission related records for transfer or retirement.

*b.* The ORL includes pertinent information about each of the record series listed: the record category, title of the specific record, record type (K, T or U), duration (retention) period, whether or not the record is permanent, the NARA disposition authority, the Privacy Act number (if applicable), the record number, and the status indicating whether the ORL is approved, is pending approval (proposed) or in draft.

*c.* ORLs are required and will be prepared using the Records Management Assistance (RM-Assist) in ARIMS. Keep (K) records may also be included on the ORL to preclude having to create and maintain two separate ORLs, and for use in printing record labels.

*d.* To assist in creating the ORL, the RM-Assist is linked to the ARIMS RRS-A. This allows searching for and selecting applicable record titles to automatically populate the ORL.

*e.* The ORL is created annually and submitted for approval to the agency records administrator or manager who reviews it for accuracy and completeness.

*f.* Proposed ORLs may be modified as needed to add, change, or delete record titles. Approved ORLs can only be added to. Once a record has been filed using a title from the ORL, that title cannot be deleted.

*g.* See Chapter 6 for guidance on creating and using ORLs.

#### **1-11. Maintaining records for multiple organizations**

Officials performing duties for more than one organization will maintain the records created in each capacity separately. Example of situations requiring separate recordkeeping are a division commander who is also an installation commander, a command safety officer who is also the installation safety officer, or the chief of a staff section who is also secretary of a committee.

#### **1-12. Maintaining records in libraries**

Record copies of publications and other permanent documents as described in the ARIMS RRS-A will not be maintained as a part of library collections or manuscript collections in libraries or museums. When extra copies are maintained in these collections, they should be distinctly marked "LIBRARY COPY" or "MUSEUM COPY."

Table 1-1. Prescribing Directive Functional Categories

| Series | Functional Category                                 | Series | Functional Category                                 |
|--------|---|--------|---|
| 1      | Office Administrative Housekeeping Operations       | 381    | Military Intelligence                               |
| 1      | Administration                                      | 385    | Safety  |
| 5      | Management  | 405    | Real Estate   |
| 10     | Organization and Functions                          | 415    | Construction  |
| 11     | Army Programs                                       | 420    | Facilities Engineering                              |
| 12     | Security Assistance and International Logistics     | 500    | Emerg Employment of Army & Other Resources          |
| 15     | Boards, Commissions, and Committees                 | 525    | Military Operations                                 |
| 18     | Army Automation                                     | 530    | Operations and Signal Security                      |
| 20     | Assistance, Inspections, Investigations & Follow-up | 550    | Foreign Countries and Nationals                     |
| 25     | Information Management                              | 570    | Manpower and Equipment Control                      |
| 27     | Legal Services                                      | 600    | Personnel - General                                 |
| 28     | Welfare, Recreation, and Morale                     | 601    | Personnel Procurement                               |
| 30     | Food Program  | 602    | Soldier - Materiel System                           |
| 32     | Clothing and Textile Material                       | 604    | Personnel Security Clearance                        |
| 34     | Standardization                                     | 608    | Personal Affairs                                    |
| 36     | Audit   | 611    | Personnel Selection and Classification              |
| 37     | Financial Administration                            | 612    | Personnel Processing                                |
| 40     | Medical Services                                    | 614    | Assignments, Details, and Transfers                 |
| 50     | Nuclear and Chemical Weapons and Materiel           | 616    | Personnel Utilization                               |
| 55     | Transportation and Travel                           | 621    | Education   |
| 56     | Surface and Transportation                          | 623    | Personnel Evaluation                                |
| 58     | Motor Transportation                                | 624    | Promotions  |
| 59     | Air Transportation                                  | 630    | Personnel Absences                                  |
| 60     | Exchange Service                                    | 633    | Apprehension and Confinement                        |
| 66     | Courier Service                                     | 635    | Personnel Separations                               |
| 70     | Research, Development, and Acquisition              | 638    | Deceased Personnel                                  |
| 71     | Force Development                                   | 640    | Personnel Records and Identification of Individuals |
| 73     | Test and Evaluation                                 | 670    | Uniform and Insignia                                |
| 75     | Explosives  | 672    | Decorations, Awards, and Honors                     |
| 95     | Aviation  | 680    | Personnel Information Systems                       |
| 100    | Operations  | 690    | Civilian Personnel                                  |
| 105    | Communications - Electronics                        | 700    | Logistics   |
| 108    | Audiovisual Services                                | 701    | Logistics Plans                                     |
| 115    | Climatic, Hydrological, and Topographic Svcs        | 702    | Product Assurance                                   |
| 130    | Army National Guard                                 | 703    | Petroleum Management                                |
| 135    | Army National Guard and Reserve                     | 705    | Research and Development of Material                |
| 140    | Army Reserve  | 708    | Cataloging of Supplies and Equipment                |
| 145    | Reserve Officers' Training Corps                    | 710    | Inventory Management                                |
| 165    | Religious Activities                                | 711    | Supply Chain Integration                            |
| 190    | Military Police                                     | 715    | Procurement   |
| 195    | Criminal Investigation                              | 725    | Requisition and Issue of Supplies and Equipment     |
| 200    | Environmental Quality                               | 735    | Property Accountability                             |
| 205    | Conservation  | 738    | Maintenance of Supplies and Equipment               |
| 210    | Installations                                       | 740    | Storage and Supply Activities                       |
| 215    | Morale, Welfare, and Recreation                     | 742    | Inspection of Supplies and Equipment                |
| 220    | Field Organizations                                 | 746    | Marking, Packing, & Shipment of Supplies & Equip    |
| 230    | Nonappropriated Funds and Related                   | 750    | Maintenance of Supplies and Equipment               |
| 235    | Industrialized Activities and Labor Relations       | 755    | Disposal of Supplies and Equipment                  |
| 290    | Cemeteries  | 840    | Heraldic Activities                                 |
| 310    | Military Publications                               | 870    | Historical Activities                               |
| 325    | Statistics  | 920    | Civilian Marksmanship                               |
| 335    | Management Information Control                      | 930    | Service Organizations                               |
| 340    | Office Management                                   | 1105   | Corps of Engineers Planning                         |
| 350    | Training  | 1110   | Corps of Engineers Engineering and Design           |
| 351    | Schools   | 1125   | Corps of Engineers Plant                            |
| 352    | Dependents' Education                               | 1130   | Corps of Engineers Project Operation                |
| 360    | Army Public Affairs                                 | 1145   | Corps of Engineers Regulatory Functions             |
| 370    | Libraries - Information Centers                     | 1165   | Corps of Engr Water Resource Policies & Authority   |
| 380    | Security  | 1180   | Corps of Engineers contracts                        |

| THIS IS THE PUBLICATION SERIES NUMBER AND TITLE                                     | 200<br>ENVIRONMENTAL QUALITY  |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
|---|---|---------------|--------------|-----|--|--------|---|--------|-----------------------|---------|---|---------|---|--------|---|---------|---|---------|--|
| THESE ARE THE PRESCRIBING DIRECTIVES FOR THIS SERIES                                | Prescribing Directive<br>AR 200-1 Environmental Protection and Enhancement<br>AR 200-2 Environmental Effects of Army Actions<br>AR 200-3 National Resources – Land, Forest, and Wildlife Management<br>AR 200-4 Cultural Resources Management<br>AR 200-5 Pest Management<br>PAM 200-1 Environmental Protection and Enhancement<br>PAM 200-4 Cultural Resources Management  |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| THESE ARE SOME FILE NUMBERS (RECORDS) THAT ARE PRESCRIBED BY 200 SERIES REGULATIONS | <table> <tr> <th><u>Number</u></th><th><u>Title</u></th></tr> <tr> <td>200</td><td>General environmental quality correspondence files</td></tr> <tr> <td>200-3a</td><td>Resources conservation programs, goals, and schedules</td></tr> <tr> <td>200-3b</td><td>Timber disposal files</td></tr> <tr> <td>200-3c1</td><td>Wildlife management plans and implementations – Cooperative plan agreements</td></tr> <tr> <td>200-3c2</td><td>Wildlife management plans and implementations – Licensing documentation</td></tr> <tr> <td>200-3k</td><td>Real property maintenance supervisory files</td></tr> <tr> <td>200-5a1</td><td>Pest Management - Offices having Army-wide responsibility</td></tr> <tr> <td>200-5a2</td><td>Pest Management - Offices other than Offices having Army-wide responsibility</td></tr> </table> | <u>Number</u> | <u>Title</u> | 200 | General environmental quality correspondence files | 200-3a | Resources conservation programs, goals, and schedules | 200-3b | Timber disposal files | 200-3c1 | Wildlife management plans and implementations – Cooperative plan agreements | 200-3c2 | Wildlife management plans and implementations – Licensing documentation | 200-3k | Real property maintenance supervisory files | 200-5a1 | Pest Management - Offices having Army-wide responsibility | 200-5a2 | Pest Management - Offices other than Offices having Army-wide responsibility |
| <u>Number</u>   | <u>Title</u>  |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200   | General environmental quality correspondence files  |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-3a  | Resources conservation programs, goals, and schedules   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-3b  | Timber disposal files   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-3c1   | Wildlife management plans and implementations – Cooperative plan agreements   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-3c2   | Wildlife management plans and implementations – Licensing documentation   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-3k  | Real property maintenance supervisory files   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-5a1   | Pest Management - Offices having Army-wide responsibility   |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |
| 200-5a2   | Pest Management - Offices other than Offices having Army-wide responsibility  |               |              |     |  |        |   |        |                       |         |   |         |   |        |   |         |   |         |  |

Figure 1-1. Relationship between file numbers and prescribing directives

**Chapter 2**

**Identifying records and recordkeeping requirements**

**2-1. Records.**

*a.* By law Federal records are:

(1) all documentary materials including:

(a) letters

(b) memorandums

(c) completed forms

(d) statistical and narrative reports

(e) graphics

(f) photographs

(g) audio and video recordings

(h) maps

(i) architectural, engineering, and other drawings

(2) regardless of physical forms including:

(a) electronic records (e-mail, digitized images, etc)

(b) photographic prints and negatives

(c) motion picture film

(d) tape recordings

(3) made or received by an agency of the US Government under Federal law or in connection with the transaction of public business, and

(4) preserved or appropriate for preservation as evidence of agency functions, organization, and activities or because of the value of the information they contain (44 USC 3301).

*b.* Some files may not be readily identified as records. If the answer to any of the following questions is “yes” the document is a Federal record

(1) Was the creation or submission and maintenance of the document required by the organization?

(2) Was the document used to conduct or facilitate agency business?

(3) If the document is a draft or preliminary document created for background or a similar purpose, does it contain unique information that explains formulation of significant program policies and decisions?

(4) Was the document distributed to other offices or agencies for formal approval or clearance?

(5) Was the document placed in an organization file?

(6) Is the document part of an electronic information system used to conduct Government business?

(7) Is the document covered by one of the records numbers in the ARIMS RRS-A.

*c.* Preliminary drafts and working paper are Federal records if they

(1) Explain how the agency formulated and executed significant program policies, decisions, actions, or responsibilities, or

(2) Contain unique information such as annotations or comments

*d* Paper records may be originals or copies, such as file copies of outgoing correspondence or copies forwarded for action. Multiple copies of the same document may each be a record if each serves a separate administrative purpose and if they are kept in separate filing or recordkeeping systems. If electronically created records are maintained in a paper recordkeeping system, the information necessary for a complete record must be printed.

*e.* Electronic records may include data in automated information systems (data files, data bases), word processing files, electronic spreadsheets, electronic mail and electronic messages, image (bit-mapped) files and other text or numeric information.

(1) Electronic recordkeeping involves the use of a computer to create, store, retrieve, use and dispose of digitally recorded information.

(2) Measures should be taken to ensure that all records which originate or are transmitted through an automated information system, word processing system, electronic mail system, etc, are identified, retained, and managed properly and that adequate maintenance and disposition procedures are implemented from the beginning. Records should be readily available and accessible to all authorized users when they need them. This means that the identity, purpose, and location of records are predictable, consistent, and reliable; that methods for access and

retrieval are simple and well defined; and that records management practices are incorporated into day-to-day business activities.

## **2-2. Non-records.**

*a.* Non-records are U.S. Government-owned documentary materials excluded from the legal definition of records according to 44 U.S.C. 3301. They include:

(1) Extra copies of documents such as those used for reference purposes.

(2) Stocks of publications (excluding the record sets, which are records filed under record number 25-30mm).

(3) Library and museum material made or acquired and preserved solely for reference or exhibition purposes.

*b.* Non-record materials include:

(1) Information copies of correspondence, directives, forms and other documents on which no administrative action is recorded or taken.

(2) Routing slips and transmittal sheets adding no information to that contained in the transmitted material.

(3) Tickler, follow-up, or suspense copies of correspondence, provided they are extra copies of the originals.

(4) Duplicate copies of documents maintained in the same file.

(5) Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set.

(6) Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken.

(7) Physical exhibits, artifacts, and other material objects lacking evidential value.

## **2-3. Personal Files.**

*a.* Personal files (previously called personal papers) are documentary materials belonging to an individual that are not used to conduct agency business. They relate solely to an individual's personal and private affairs or are used exclusively for that individual's convenience. Personal files may contain references to or comments on agency business, but they are considered personal if they are not used in the conduct of business. Categories of personal files include:

(1) Business or professional files created before entering Government service; files created during or relating to previously held positions, political materials, and reference files.

(2) Private files brought into, created, or received in the office; family and personal correspondence and materials documenting professional activities and outside business or political pursuits, including manuscripts and drafts for articles and books and volunteer and community service records that are considered personal, even if created or received while in office, because they do not relate to agency business.

(3) Work-related personal files, such as diaries, journals, notes, personal calendars, and appointment schedules, though work-related, may be personal if they are used only as reminders and personal observations on work-related topics, not for the transaction of Government business.

(4) Personal files may be removed from the office without agency approval; however, if there is a question as to whether materials are personal or Federal records, consult with the organization's records officer.

(5) When leaving Government service, an individual may wish to take with them:

(a) Extra copies of selected Federal records, such as materials they drafted, reviewed, or otherwise acted upon, and

(b) Copies of public affairs records such as news clippings and photographs taken at official functions and celebrations.

(6) Agencies may approve or disapprove requests to remove extra copies of Federal records or other Government-owned documentary materials provided all of the following conditions are met:

(a) Removal would not diminish the official records of the agency.

(b) Removal would not exceed normal administrative economies.

(c) The materials do not contain national security classified information.

(d) The information removed is not subject to the Privacy Act of 1974 (5 USC 552a).

(e) Disclosure of the information removed is not otherwise prohibited by law.

b. When determining whether to permit departing officials to remove documentary materials, the agency should also consider the extent to which such removal could affect the agency's ability to invoke various legal privileges, and should consider the use of nondisclosure agreements in appropriate cases. When extra copies of work-related files are removed, a designated official of the agency should review the materials and approve their removal.



**2-4. Vital records.**

Vital records are records that contain information the Army may need to conduct business under emergency operating conditions or to protect the legal and financial rights of the Federal Government and the people it serves. Two types of records have been traditionally identified: emergency operating records and rights and interest records.

a. *Emergency operating records.* These are records essential to the continued functioning and reconstitution of an organization before, during, and after a national security emergency, or under emergency or disaster conditions. Per AR 500-3, headquarters, major commands, and certain activities maintain copies of emergency operating records at pre-designated relocation and alternate sites. Records under this category include:

- (1) Emergency plans and directives including information needed to operate the emergency operations center and its equipment and records recovery plans and procedures.
- (2) Order of succession.
- (3) Delegations of authority.
- (4) Emergency staffing assignments, including lists of personnel along with their addresses and telephone numbers, assigned to the emergency operations center or other emergency duties or authorized access to damaged facilities to assess the extent of damage.
- (5) Emergency operations center access credentials and classified or restricted access container documentation as required.
- (6) Building plans and building systems operations manuals for all agency facilities.
- (7) Equipment inventories for all agency facilities.
- (8) ORLs describing the record series and electronic information systems maintained within the office for all agency facilities.
- (9) Vital records inventories.
- (10) Copies of agency program records (whatever the media) needed to carry out continuing critical functions.
- (11) System documentation for any electronic information systems designated as emergency-operating.

b. *Rights and interests records.* These are records essential to the preservation of the legal rights and interests of individual citizens (including service members) and the Army. These

records require protection but do not have to be maintained at or in the vicinity of an emergency operating site because their need would not be immediate. These records include:

- (1) Accounts-receivable records.
- (2) Social security records.
- (3) Payroll records.
- (4) Retirement records.
- (5) Insurance records.
- (6) Records relating to contracts, entitlements, leases, or obligations whose loss would pose a significant risk to the legal and financial rights of the Federal Government or persons directly affected by its actions.
- (7) System documentation for any electronic information system which contains records designated as needed to protect rights.

## **2-5. Unscheduled Records.**

Unscheduled records are records that have not been formally appraised by NARA for disposition. Unscheduled records not identified or described in the ARIMS RRS-A should be brought to the attention of the records management officer who will assist in obtaining a valid record number. New record number requests are submitted through agency records channels to ARMDA for coordination with the proponent of the prescribing directive. See Chapter 5 for information on how records are scheduled.

## **2-6. Contractor records**

Records management oversight of contract records is necessary to ensure that all long-term recordkeeping needs are met according to the instructions in the RRS-A. Contractors will assign the appropriate record identification and disposition instructions to all records delivered to the Government. In addition, records and background electronic data specified for delivery to the contracting agency must be accompanied by sufficient technical documentation to permit use of the records and data.

*a.* Contractors performing congressionally mandated program functions must create and maintain records to document these programs. The contract must include requirements for the delivery of all pertinent documentation of contractor program execution.

*b.* Many other types of contracts involve the creation of background information that may have value to the Government. Whenever appropriate, agency officials should require the delivery of such background information in addition to the final product. For example—

- (1) Contracts to produce statistical analyses will specify the delivery of background information that may have value to the contracting agency or to other agencies.

(2) Contracts to produce reports that represent Army policy will specify the delivery of background information needed to verify assertions or justify conclusions.

(3) Research contracts will specify the delivery of background information that have value to the contracting agency.

c. A deferred ordering and delivery information clause should be included in the contract to acquire any data/records information that may have value to the Government but were not identified in advance.

## **2-7 Special records collections**

Special records collections are defined as a group of records that may or may not fall under the same series but are considered a collection based on common characteristics; for example, John F. Kennedy records collection.

## **2-8. Contingency Operations (CONOPS) records**

These are records created by Army forces that are deployed or engaged in operational missions. See Chapter 12 for more information on CONOP recordkeeping requirements.

## **2-9. Records of defunct Army commands**

See Chapter 9, paragraph 9-5, for how the handling of records from Army organizations that have been discontinued or records of Army bases that have closed due to a base realignment and closure (BRAC) action.

## **2-10. Records of joint staff and combatant commands**

Records created in support of the joint staff and combatant commands are managed IAW the Chairman of the Joint Chiefs of Staff Manual 5760.01, Vol I, 10 Mar 03.

## **2-11. Records Life Cycle**

A records life cycle involves three stages: records creation (or receipt), records maintenance and use, and records disposition. See Figure 2-1 - Records Life Cycle.

*a. Records creation (or receipt).* Records are created at all levels throughout the Army and as mentioned earlier can exist in many formats or on various media. Records are created or received and accumulated as an agency conducts Government business. Records are classified as either a record copy or a non-record copy. When records are created, one copy must be identified as the official record copy that will be maintained to support the organization's business needs. For received documents, the original copy is usually classified as the record copy. Once the record copy is identified, it should be stamped to reflect its status. For hard copy records, this is achieved using a rubber stamp that reads "File Copy" or "Record Copy." The stamp is placed vertically along the right margin of the document. For electronic T records, the copy is identified as the record copy by simply transferring it to the AEA. If an office does not have a file server set up for storing short-term record copies, one way to identify the record copy for K records is to include "RecCy" (for record copy) in the file title; for example, "MtgReptRecCy.doc."

*b. Records maintenance and use.* Records are kept to provide documentation of an action taken, to support a decision or legal requirement, to respond to inquiries and for reference purposes. Under the maintenance and use stage, the records are assigned a record number, which is used to file and retrieve the records. During this stage records are referred to as active or inactive depending on how often the record is accessed.

(1) *Active records.* Records are considered active if they are used frequently. Active records are maintained in the CFA where they are available for easy retrieval.

(2) *Inactive records.* Records are considered inactive if they are referenced less than 10 times annually. Normally inactive records are transferred to an RHA or FRC.

*c. Records disposition.* During the final stage of the record's life, it will be destroyed if it is a temporary record or transferred to the National Archives if it is permanent. Anything less than permanent is considered a temporary record. A record is disposed of according to the instructions for the applicable record number assigned to it.

(1) *Temporary records.* Temporary records are destroyed after a fixed period of time or after occurrence of a specified event. The time may range from a few months to many years. Most Army records are temporary.

(2) *Permanent records.* Records that are considered sufficiently valuable for historical or other purposes as to warrant continued preservation by the Federal Government, are classified as permanent. Relatively few Army records are permanent.

## **2-12. Recordkeeping requirements.**

*a.* Recordkeeping requirements are statements in laws, regulations or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since the Army is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all formats and media, and to distinguish records from non-record materials and personal papers.

*b.* Proponents of prescribing directives will ensure that Army regulations and DA pamphlets identify records required to support their business processes. These records are created or received when carrying out the missions or functions of the programs prescribed therein. An example would be to include a statement similar to the following as the last paragraph of Chapter 1 and list the specific requirements in Appendix B of the regulation (see Figure 2-2 for an example of Appendix B).

“1-7. Recordkeeping Requirements.

As required by AR 25-400-2 – The Army Records Information Management System (ARIMS), the recordkeeping requirements created by this regulation are listed in Appendix B.”

369  
370 c. Proponents will further ensure that any requirements or established procedures governing  
371 the use and retention of the records are specified in Army regulations or DA pamphlets when  
372 necessary. These requirements may pertain to such matters as the naming, arrangement, and/or  
373 location of records and established procedures such as those governing information or input  
374 submitted for consolidated reports, summaries, or similar information.  
375

376 d. Proponents will coordinate any new, revised, or rescinded recordkeeping requirements  
377 (including recommended retention periods for the new or revised requirements) in Army  
378 directives with their records management officers. Records management officers will use the  
379 ARIMS RRS-A to identify the record number (RN) under which the records will be kept and  
380 send requests for new, revised, or rescinded numbers, along with proposed disposition  
381 instructions as needed, to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA  
382 22315-3860 or to [info@rmda.belvoir.army.mil](mailto:info@rmda.belvoir.army.mil). Temporary RNs, titles, and disposition  
383 instructions for new numbers will be established by records management officers in coordination  
384 with ARMDA. The requirements will be submitted in the same format as shown for record  
385 numbers in the ARIMS Records Retention Schedule - Army (RRS-A) and will include a  
386 complete description of the records to be created, identifying any specific forms or documents  
387 that are to be used and any automated information systems that are used to produce or store the  
388 records.  
389

390 e. Proponents will review the recordkeeping requirements whenever making changes to the  
391 prescribing directive. When an AR is superseded, the proponent will review the record numbers  
392 prescribed by that AR and inform ARMDA which numbers transfer to the superseding AR and  
393 which, if any, will be rescinded. If the AR is rescinded, the record numbers will be reviewed and  
394 if they no longer remain valid, proponent will request that ARMDA rescind them. Any record  
395 numbers remaining valid after a prescribing directive has been rescinded will be changed to  
396 reflect a new prescribing directive if one can be found or if not, will be based on the functional  
397 category under which the record falls. For example, if the record deals with a medical category,  
398 it would be based on file category 40.  
399

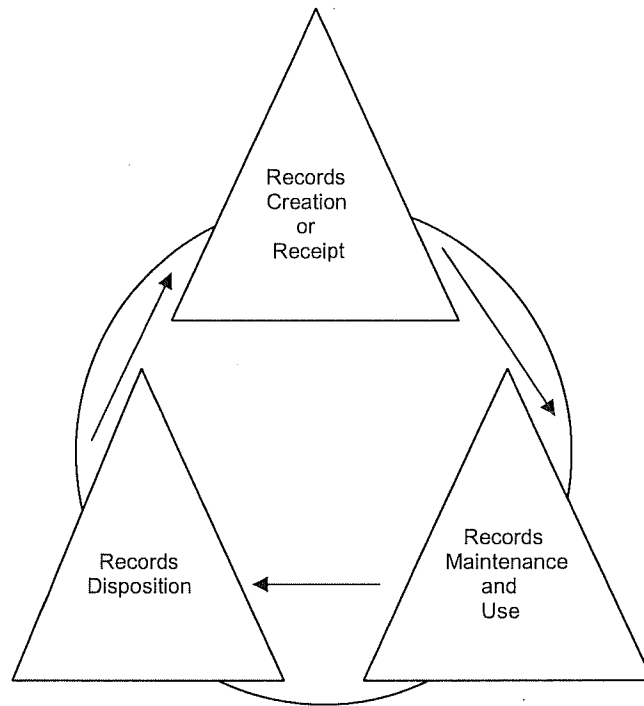


Figure 2-1. Life Cycle of a Record

## **Chapter 3**

### **Managing the Various Types of Records Media.**

This chapter provides guidance and procedures for maintaining the Army's information regardless of the media to ensure it is available when needed. The RRS-A lists all the known types of records the Army creates in support of its myriad of programs. Each of the different types of records is covered by one of the record numbers listed in the RRS-A, which states its disposition.

#### **Section I**

##### **Hardcopy records**

###### **3-1. General.**

Generally, hardcopy records are defined as paper records, but microfilm records are also classified as hardcopy records, as are audio visual, cartographic and architectural records.

###### **3-2. Records preparation before filing**

*a.* Before filing a record, examine it to ensure all actions are complete and essential information is attached. If essential information is missing and cannot be located, annotate the record indicating what measures are being taken to obtain the information.

*b.* Envelopes, routing slips that bear no essential information, and extra copies should be removed. Cover sheets (such as SFs 703, 704 and 705) should be removed unless records are in suspense files or when cases are placed in record containers pending completion of the action.

*c.* Staple hardcopy documents when possible. Prior to stapling, documents should be assembled with the latest action on top. Other fasteners may be used when there are too many papers for stapling or physical characteristics prohibit stapling.

###### **3-3. Cross References**

*a.* Prepare cross references (using DA Form 1613 (Cross Reference)) only when essential to retrieving information. They may be used when:

(1) A document is related to more than one action.

(2) A classified document has a direct relationship to unclassified material. Do not place classified information on cross reference forms filed in unclassified files.

(3) Documents with various dates relate functions to other subfunctions or actions.

(4) Documents have been changed from one record number or subdivision to another record number or subdivision.

*b.* DA Form 1613 is filed under one record number or subdivision to show the location of material filed elsewhere. DA Form 1613 is available at the US Army Publishing Directorate's website: <http://www.apd.army.mil/>. See Figure 3-1 - Sample DA Form 1613.

### 3-4. File Supplies

File supplies include folders, guides, labels, fasteners, binders, envelopes, microfiche envelopes, and label holders. Supplies available from the Federal Supply Schedule should be used to maintain official records.

a. Use standard guides to divide records and to identify subdivisions for ease in filing and retrieval. See Figure 3-2 - Sample use of guide cards.

b. Use standard size folders to consolidate, retrieve, and protect the records.

c. Mark or stamp folders with the proper classification per AR 380-5.

d. File and barcode labels: When using RM-Assist to create file and barcode labels, use Avery file labels 5161 or equivalent.

### 3-5. Arrangement of files

a. *Records Arrangement.* Unless specified by the prescribing directive, records should be arranged in a manner that best suits the business or reference needs of an office. Following are common arrangements for subdividing records.

(1) *Date Arrangement.* Use only for material within folders or for suspense folders. Arrange records chronologically, with the newest record at the front of the file. See Figure 3-3 - Sample date arrangement of documents within a folder.

(2) *Alphabetic Arrangement.* The two basic methods of arranging records alphabetically are as follows:

(a) *Subject.* Under this method, subject files are used and arranged alphabetically. For example, Organizational History Files might be subdivided into Assumption of Command, Ceremonies, Honors, Lineage, etc. See Figure 3-4 - Sample subject arrangement of files.

(b) *Name.* Records are arranged by the name of persons, places, or organizations. The principal use is in arranging personnel-type records. See examples at Figure 3-5 - Sample personal names arrangement of files, Figure 3-6 – Sample place names arrangement of files, and Figure 3-7 – Sample organization names arrangement of files.

(3) *Numeric Arrangement.* Records are arranged in numerical sequence by number, such as by invoice number, contract number, unit designation, etc. See Figure 3-8 - Sample numeric arrangement of files.

(4) *Alphanumeric.* Records are arranged by a combination of words and numbers such as social security number and name. See Figure 3-9 - Sample alphanumeric arrangement of files.



*b. Arrangement restrictions.* Records not covered by a Privacy Act (PA) System of Records Notice will not be filed or retrieved by personal identifier (name, social security number, date of birth, etc) even if that capability exists. All PA System of Records Notices are published in DA Pam 25-51. (Check AR 340-21 for exception procedures.)

### **3-6. Classified documents**

a. File classified and unclassified documents in separate containers, except when:

(1) The volume of the classified material is small and it is more advantageous to use otherwise empty space for unclassified material. However, the classified material will be separated from the unclassified material by guide cards or by placement in separate drawers.

(2) The record of an action consists of both classified and unclassified documents and reference needs require that both be filed together. Files, folders, and similar groups of documents containing classified and/or sensitive information will be clearly marked as to the highest classification/sensitivity of information contained therein. The classification/sensitivity marking will be on the outside, front and back, and top and bottom of the file or folder. Attaching a document cover sheet to the outside of the file or folder is acceptable in satisfying this requirement. When cover sheets are used, they will not be attached when the files are in a secure storage container. When cover sheets are removed and the items are in secure storage, the files or folders must be marked to indicate the highest level of classified and/or sensitive information contained therein.

(3) When classified and unclassified documents are filed together, the records or containers will be secured and access to the area or containers monitored as if all contents are classified to preclude the inadvertent disclosure of the classified materials.

*b.* All classified documents, both originally and derivatively classified (except those containing restricted data or formerly restricted data), will be marked on the face of the document with a "Declassify on" line, with instructions for the declassification of the information. Specific instructions for completing the "Declassify on" line are in AR 380-5, paragraph 4-10.

*c.* Further guidance on the classification and marking of documents, files, and records can be found in AR 380-5.

### **3-7. Suspense files**

Suspense files are used as reminders that an action is required by a given date. The following are some examples of suspense files.

*a.* A note kept by an action officer to submit a report or to take some other action. The note would be destroyed after the report is submitted or the action is taken.

b. An outgoing communication filed by the date on which a reply is expected. When the reply is received, the communication is withdrawn and filed (if it is a record copy) or destroyed (if it is an extra copy).

### **3-8. Labeling**

a. Folders and containers used to store official records will be labeled.

b. Labeling may be accomplished in any manner that best suits the business needs of the office except that labels will include:

(1) The letter(s) "K," "KE," "KN," "KEN," or "U" for records that will be managed entirely within the office or the letter(s) "T," "TE," "TP," or "TEP" for those that will be transferred to an RHA or to the AEA.

(2) A title.

(3) The year of creation.

(4) The PA System Notice number, if applicable.

c. They may also include the record number and disposition which are automatically inserted when ARIMS RM-Assist is used to print the labels.

d. File labels may be generated using the RM-Assist (if there is an ORL on file), by typewriter or individual PC, or may be handwritten with pens or markers. The RM-Assist prints the disposition code and retention period, record number, record title, current year, disposition instructions (retire, transfer, or destroy), and PA system notice number, if applicable. At the same time the file label is printed, the RM-Assist also prints a barcode label, which will be used by the RHA staff for indexing and tracking the records once they are transferred to the RHA. See Figure 3-10 - Sample file and barcode labels.

e. If there are several folders under one title/number, a "dummy" folder which contains the full label entries may be used. Tape it shut so that no documents can be placed in it. (Alternatively, a guide card may be used for this purpose.) Subsequent folder labels need only show the disposition code, record number, contents of the individual folder, and - where appropriate - the year of accumulation. See Figure 3-11 - Sample label entries and use of "dummy" folder.

f. See Figure 3-12 - Sample file container and binder label entries, for suggestions on how to label containers and binders.

### **3-9. Storing**

a. Official records are the property of the Federal Government, not the military member or employee making or receiving them. Whenever possible, official records should be stored in

standard file cabinets where they are always available for use. In lieu of keeping the record copy at one's desk, an action officer copy can be made and kept at the desk for reference purposes. Records should not be stored in individual desk drawers unless that area has been designated as an authorized storage location and the records are identified, labeled and always accessible to all authorized personnel.

b. K records are held and disposed of in the CFA within the office, T records are held in the CFA until no longer needed for conducting business and then they are transferred to an Army RHA or FRC, as applicable. In some cases when T records are always needed on site, exceptions are granted to maintain and dispose of them in the CFA. In those cases, the disposition will reflect the exception. U records will be kept in the CFA until disposition instructions are published in the RRS-A and then transferred or disposed of accordingly. Exceptions by the ARMDA may be granted to transfer records to an RHA or to the AEA before disposition instructions are published if the volume/CFA limitations warrant.

### **3-10. Micrographic Records**

The micrographics technology involves recording information on a microform by reducing and recording images photographically or by recording directly onto film using a computer (computer output microform (COM)); locating and retrieving the indexed files via mechanical/computer means; and viewing the miniaturized images using a microfilm viewer which magnifies them on a display screen, or printing them on paper. Paper records are more prevalent throughout the Army than other records media and take up the most space. For that reason more and more paper records are being converted to another medium. Although electronic is the most used medium today, there are still several good candidates for using micrographic systems. Micrographic systems should be designed so the microform serves as the record copy, except when it is not practical or cost effective. These systems must comply with 36 CFR Part 1230, Micrographic Records Management.

#### **a. Record copy microforms**

(1) Microform records created from hardcopy source documents: the original (first generation) microform becomes the record copy and the hardcopy original may be destroyed. Duplicate record copies will not be kept. Copies must be complete, legible, free of extraneous markings, and contain all information shown on the originals.

(2) When microforms are created by computer output microfilm without hardcopy source documents, the original (first generation) microform becomes the record copy.

#### **b. Steps to follow in filming records:**

(1) Ensure that the microforms contain all information shown on the originals and that they can be used for the purposes the original records served.

(2) Arrange, describe, and index the filmed records to permit retrieval of any particular document or component of the records. Title each microform roll or fiche with a titling target or

header. For fiche, place the titling information in frame 1 if the information will not fit on the header. At a minimum, titling information must include:

- (a) The title of the records;
- (b) The number or identifier for each unit of film;
- (c) PA Systems Notice number, if applicable;
- (d) The security classification, if any; and
- (e) The name of the agency and organization, the inclusive dates, names or other data identifying the records to be included on a unit of film.

(3) Add an identification target showing the date of filming. When necessary to give the film copy legal standing, the target must also identify the person who authorized the microfilming. See ANSI/AIIM MS19-1993 for standards for identification targets.

(4) The following formats are mandatory standards for microforms:

(a) *Roll film, source documents.* The formats described in ANSI/AIIM MS14-1996 must be used for microfilming source documents on 16mm and 35mm roll film. A reduction ratio no greater than 1:24 is recommended for typewritten or correspondence types of documents. See ANSI/AIIM MS23-1998 for the appropriate reduction ratio and format for meeting the image quality requirements. When microfilming on 35mm film for aperture card applications, the format dimensions in ANSI/AIIM MS32-1996, Table 1 are mandatory, and the aperture card format "D Aperture" shown in ANSI/AIIM MS41-1996, Figure 1, must be used. The components of the aperture card, including the paper and adhesive, must conform to the requirements of ANSI/PIMA IT9.2-1998. The 35mm film used in the aperture card application must conform to film designated as LE 500 in ANSI/NAPM IT9.1-1996.

(b) *Roll film, COM.* Computer output microfilm (COM) generated images must be the simplex mode described in ANSI/AIIM MS14-1996 at an effective ratio of 1:24 or 1:48 depending upon the application.

(c) *Microfiche.* For microfilming source documents or computer generated information (COM) on microfiche, the formats and reduction ratios prescribed in ANSI/AIIM MS5-1992 (R1998) must be used as specified for the size and quality of the documents being filmed. See ANSI/AIIM MS23-1998 for determining the appropriate reduction ratio and format for meeting the image quality requirements.

(5) Index Placement

(a) *Source documents.* When filming original (source) documents, place indexes, registers, or other finding aids, if microfilmed, either in the first frames of the first roll of film or

in the last frames of the last roll of film of a series. For microfiche, place them in the last frames of the last microfiche or microfilm jacket of a series.

(b) *COM.* Place indexes on computer-generated microforms following the data on a roll of film or in the last frames of a single microfiche, or the last frames of the last fiche in a series. Other index locations may be used only if dictated by special system constraints.

c. Filming requirements for permanent and unscheduled records.

(1) Do not destroy permanent or unscheduled paper records after microfilming without authorization from NARA on an SF 115 which will be prepared by ARMDA on behalf of the office requesting permission to destroy the records.

(2) Polyester-based silver gelatin type film that conforms to ANSI/NAPM IT9.1-1996 for LE 500 film must be used in all applications.

(3) Microforms must be processed so that the residual thiosulfate ion concentration will not exceed 0.014 grams per square meter in accordance with ANSI/NAPM IT9.1-1996. Follow processing procedures in ANSI/AIIM MS1-1996 and MS 23-1998.

(4) Quality standards - Resolution.

(a) *Source documents.* Determine minimum resolution on microforms of source documents using the method in the Quality Index Method for determining resolution and anticipated losses when duplicating, as described in ANSI/AIIM MS23-1998 and MS43-1998. Perform resolution tests using an ISO 3334-1991 Resolution Test Chart or a commercially available certifiable target manufactured to comply with this standard, and read the patterns following the instructions of ISO 3334-1991. Use the smallest character used to display information to determine the heights used in the Quality Index formula. A Quality Index of five is required at the third generation level.

(b) *COM.* Computer output microforms must meet the requirements of ANSI/AIIM MS1-1996.

(5) Quality standards:

(a) *Background density of images.* The background ISO standard visual diffuse transmission density on microforms must be appropriate to the type of documents being filmed. The procedure for density measurement is described in ANSI/AIIM MS23-1998. The densitometer must meet with ANSI/NAPM IT2.18-1996, for special conditions and ANSI/NAPM IT2.19-1994, for geometric conditions for transmission density. See figure 3-13 for recommended visual diffuse transmission background densities for images of documents. See figure 3-14 for recommended visual diffuse transmission densities for computer generated images.

(b) *Base plus fog density of films.* The base plus fog density of unexposed, processed films must not exceed 0.10. When a tinted base film is used, the density will be increased. The difference must be added to the values given in the tables in figures 3-13 and 3-14.

(c) *Line or stroke width.* Due to optical limitations in most photographic systems, film images of thin lines appearing in the original document will tend to fill in as a function of their width and density. Therefore, as the reduction ratio of a given system is increased, reduce the background density as needed to ensure that the copies will be legible.

d. Film and image requirements for temporary records, duplicates, and user copies.

(1) *Temporary records with a retention period over 99 years.* Follow the film and image requirements for permanent and unscheduled records.

(2) *Temporary records to be kept for less than 100 years.* NARA does not require the use of specific standards. Select a film stock that meets agency needs and ensures the preservation of the microforms for their full retention period. Consult appropriate ANSI standards or manufacturer's instructions for processing microfilm of these temporary records. Follow the manufacturer's recommendations for production and maintenance of temporary microfilm to ensure that the image is accessible and usable for the entire retention period.

e. Storing microforms.

(1) *Permanent and unscheduled.* Store permanent and unscheduled microform records under the extended term storage conditions specified in ISO 18911:2000 and ANSI/PIMA IT9.2-1998, except that the relative humidity of the storage area must be a constant 35 percent RH, plus or minus 5 percent. Do not store non-silver copies of microforms in the same storage area as silver gelatin originals or duplicate copies.

(2) *Temporary records.* Store temporary microform records under conditions that will ensure their preservation for their full retention period. Agencies may consult Life Expectance (LE) guidelines in ANSI/AIIM standards for measures that can be used to meet retention requirements.

f. Depending on the type of microform being identified, a record label will be placed on the container. Multiple microfiche documenting a single action would normally be put into a single microfiche envelope.

g. NARA inspection requirements for permanent and unscheduled microform records.

(1) Agencies must inspect, or arrange to pay a contractor or NARA to inspect the following categories of microform records stored at the agency, at a commercial records storage facility, or at a NARA records center following the inspection requirements in paragraph (2) below:

(a) Master films of permanent records microfilmed in order to dispose of the original records.

(b) Master films of permanent records originally created on microfilm.

(c) Other master films scheduled for transfer to the National Archives.

(d) Master films of unscheduled records.

(2) The films listed in paragraph (1) above must be inspected initially in accordance with ANSI/AIIM MS45-1990. All films must be inspected when they are 2 years old. After the initial 2-year inspection, unless there is a catastrophic event, the films must be inspected as follows until legal custody is transferred to the National Archives and Records Administration:

(a) For microfilm that is/was produced after 1990, inspect the microfilm every 5 years.

(b) For microfilm that was produced prior to 1990, inspect the microfilm every 2 years.

(3) To facilitate inspection, the agency must maintain an inventory of microfilm listing each microform series/publication by production date, producer, processor, format, and results of previous inspections.

(4) The elements of the inspection shall consist of:

(a) An inspection for aging blemishes following ANSI/AIIM MS45-1990.

(b) A rereading of resolution targets.

(c) A remeasurement of density.

(d) A certification of the environmental conditions under which the microforms are stored, as specified in paragraph 3-8d.

(5) The agency must prepare an inspection report, and send a copy to NARA. The inspection report must contain:

(a) A summary of the inspection findings, including: a list of batches by year that includes the identification numbers of microfilm rolls and microfiche in each batch, the quantity of microforms inspected, an assessment of the overall condition of the microforms, a summary of any defects discovered (for example, redox blemishes or base deformation), and a summary of corrective action taken.

(b) A detailed inspection log created during the inspection that contains the following information: a complete description of all records inspected (title; roll or fiche number or other

unique identifier for each unit of film inspected; security classification if any; and inclusive dates, names, or other data identifying the records on the unit of film), the date of inspection, the elements of inspection, any defects uncovered, and the corrective action taken.

(6) If an inspection shows that a master microform is deteriorating, the agency must make a silver duplicate in accordance with 3-8c to replace the deteriorating master. The duplicate film will be subject to the inspection requirements before transfer to a record center or to the National Archives.

(7) Inspection must be performed in an environmentally controlled area in accordance with ANSI/AIIM MS45-1990.

*h.* NARA recommends, but does not require, that agencies use the inspection by sampling procedures for temporary records as described in paragraphs 3-8f(1) and (2).

*i.* Use restrictions for permanent and unscheduled microform records.

(1) Do not use the silver gelatin original microform or duplicate silver gelatin microform of permanent or unscheduled records created in accordance with paragraph 3-8c (archival microform) for reference purposes. Agencies must ensure that the archival microform remains clean and undamaged during the process of making a duplicating master.

(2) Use duplicates for reference, further duplication on a recurring basis, large-scale duplication, and distribution of records on microform.

(3) Agencies retaining the original record in accordance with an approved records disposition schedule may apply agency standards for the use of microform records.

*j.* See Chapter 9 of this pamphlet for disposition instructions for microforms and source information.

### **3-11. X-Ray film records**

There are three basic film types: nitrocellulose or nitrate, safety cellulose acetate, and polyester. Currently some x-rays are made and stored as digital files or scanned from film originals. Other x-ray formats include micrographic images like microfilm and aperture cards.

*a. Storing x-ray films.* Since storage conditions significantly influence rates of deterioration, good conditions can extend the film's useful life. The black-and-white silver image on the film is vulnerable to excessive heat and moisture and to harmful gases such as sulfur dioxide and nitrogen oxides often found in urban and suburban environments. Organic compounds such as gelatin containing the photographic emulsion become susceptible to fungal growth in storage areas where the Relative Humidity (RH) exceeds 60 percent.

(1) *Nitrate-based film - 1910s to 1930s.* Highly flammable and akin to gun cotton, nitrate film deteriorates as it ages, emits an obnoxious odor, discolors to amber, and becomes sticky and brittle. The word "nitrate" is imprinted on the film. Nitrate film may be combustible



under extreme storage conditions, especially where temperatures exceed 100 degrees Fahrenheit and the humidity is in the upper ranges. Safety concerns are paramount.

(a) For short-term storage, remove from records storage areas and place in conditions that do not exceed 70 degrees F and 50% RH. Storage in a freezer or cold storage is highly recommended. Copy to polyester film and, after verification of the copy, destroy in accordance with applicable regulations governing the disposal of hazardous waste. (EPA Hazardous Waste Code, D001, D003 and D0011).

(b) For long-term storage, store the film at 35 degrees F and 20-30% RH. Store IAW requirements of the National Fire Protection Association Code NFPA-40, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film which describes building and fire safety specifications for the storage of nitrate film. Ventilation may be needed depending upon the quantity of stored film. Store separately from other types of photographic records as off-gassing can accelerate deterioration of nearby film in good condition.

(c) The packing and shipping of nitrate film are governed by the following Department of Transportation regulations: 49 CFR 172.101; 172.504; 173.24; and 173.177.

(2) *Acetate-based film - 1920s to mid-1960s.* Manufactured as a "safety film" (the words are imprinted on the film's edge), acetate film is flame resistant. However, it deteriorates as it ages, emitting a vinegary odor derived from vapors of acetic acid, a phenomenon preservationists call the "vinegar syndrome." Once deterioration begins, the chemical process becomes autocatalytic, perpetuating at a faster and faster rate. As the base shrinks, the emulsion starts to separate from the base in the form of cracks and channels, and the film becomes brittle and eventually shrivels or buckles beyond use.

(a) Place in cool and dry storage conditions to slow down deterioration. Research shows that storage temperatures from 35 to 55 degrees F at 50% RH, can extend degraded film's life from 15 to 75 years longer, depending on the state of deterioration of the film.

(b) Only ANSI cold storage recommendations for acetate film will ensure preservation for 100 years or more (ANSI/PIMA IT9.11).

(3) *Polyester based - mid-1950s to the present.* The most stable base, polyester film tends to resist chemical and physical changes as it ages under varied storage conditions. The word "safety" is imprinted on the film's edge.

(a) Virtually all x-ray film used in the last 30 years is polyester based.

(b) Polyester film has excellent long-term storage characteristics that normally extend its longevity beyond records retention requirements.

(4) *Other formats.* Other x-ray formats which include micrographic images like microfilm and aperture cards, must also be stored under conditions that will ensure availability for their full retention period.

*b. Disposition.* See Chapter 9 of this pamphlet for disposition instructions.

*c. Enclosures for x-ray films.*

(1) For medium-term retention (up to 10 years), store each sheet in a high-quality x-ray envelope.

(2) For long-term retention (over 10 years), store nitrate-based and acetate-based film in individual lignin-free, buffered paper envelopes. However, copying and disposal of nitrate are advisable. Store polyester-based film in either individual lignin-free, buffered paper envelopes or plastic sleeves made from polyester, polyethylene, or polypropylene.

(3) For very long retention, use enclosures specified in ANSI standards IT9.2 and IT9.16.

(4) For off-site storage, use heavy-duty cartons marked "x-ray files - store vertically."

*d. Additional information.* Further information can be found at [http://www.archives.gov/records\\_management/publications/managing\\_xray\\_films.html](http://www.archives.gov/records_management/publications/managing_xray_films.html)

**3-12. Visual information.** Visual information products are managed under the provisions of Chapter 7, AR 25-1 and DA Pamphlet 25-91.

### **3-13. Cartographic and architectural records**

*a.* Cartographic records are graphic representations drawn to scale of selected cultural and physical features of the surface of the earth, of other planetary bodies, and of the atmosphere. They include maps, charts, photomaps, orthophotomaps, atlases, cartograms, globes and relief models. Related records are those that are integral to the map-making process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids.

*b.* Architectural and engineering drawings, also known as design and construction drawings, are graphic records that depict the proposed and the actual construction of stationary structures, such as buildings, bridges, and canals, and movable objects, such as ships, aircraft, vehicles, weapons, machinery and equipment. Closely related records such as indexes and written specifications frequently accompany the drawings.

*c.* Cartographic and architectural records exist in various media forms and should be managed in accordance with the following guidelines and guidelines in this DA Pamphlet for the specific media type and should be disposed of in accordance with the applicable RRS-A retention schedules.

*d.* Cartographic and architectural records require special storage and handling because of their diverse physical attributes.

(1) Avoid storing maps and drawings rolled or folded. NARA recommends storing maps and architectural drawings flat in shallow drawer map cases and placing records inside acid-free folders for added protection. The Federal records centers are generally not equipped to handle flat storage of large documents, therefore maps and drawings must be rolled, not folded, for storage in the centers. For this reason, when feasible, transfer permanent cartographic and architectural records directly to NARA rather than to intermediate storage in an RHA or Federal records center.

(2) Do not laminate oversize records. Encapsulate old or fragile maps in clear, stable plastic.

(3) Store large, heavy atlases and other bound volumes of maps or drawings flat. Storing the volumes upright strains their bindings. If a spine is weak or damaged, the binding can be removed, the pages deacidified and encapsulated, and the volume reassembled in post binders. Further information about how to deal with preservation problems is available from NARA.

(4) Store negative rolls of aerial film in inert plastic containers upright on shelves with identification codes assigned to each roll of film.

(5) Wear white cotton gloves to handle film.

(6) Store film in a climate-controlled environment at constant temperature and humidity.

## **Section II**

### **Electronic records**

#### **3-14. General**

*a.* Electronic records may include data in information systems (data files, databases), office IT sources (word processing files, spreadsheets, presentations, etc), e-mail and messages, image (bit-mapped) files, web files, and files created during the conduct of electronic business/electronic commerce. Electronic recordkeeping involves the use of information technology to create, store, retrieve, use and dispose of digitally recorded information.

*b.* Criteria for identifying a record in paper form applies to the electronic form. Electronically recorded information that meets both the following conditions are Federal records: they are made or received by an agency of the US Government under Federal law or in connection with the transaction of public business; and, they serve as evidence of agency activities because of the value of the information they contain. To assist in determining whether or not an electronic document is a record, ask how it would be viewed if it was in paper form.

*c.* Measures should be taken to ensure that all records which originate or are transmitted through an automated information system, word processing system, electronic mail system, etc, are identified, retained, and managed properly. The procedures for saving electronic records should be determined as early as possible in the life cycle of a system. (See AR 25-1.)

Records should be readily available and accessible to all authorized users when they need them. This means that the identity, purpose, and location of records are predictable, consistent, and reliable; methods for access and retrieval are simple and well defined; and records management practices are incorporated into day-to-day business activities.

### **3-15. Electronic mail**

Electronic mail (e-mail) is the electronic transfer of information typically in the form of electronic messages, memoranda, and attached documents from one party to another party via an intermediate telecommunications system. E-mail messages consist of the message header and message contents. The header contains the mailing address, routing instructions, transmission and receipt data, and other information the system needs to deliver the e-mail correctly. Most e-mail systems allow the attachment of documents to messages, importing text from word processing systems, forwarding messages, and distribution to individuals as well as groups and use of PKI technology.

a. E-Mail has become a major way of transacting government business; however, many e-mails are being destroyed prematurely because they are not being perceived as official records. E-mail messages are official records when they are created or received in the transaction of public business and retained as evidence of official policies, actions, decisions, or transactions.

(1) Examples of messages sent by e-mail that typically are records include:

- (a) Policies and directives.
- (b) Correspondence or memoranda related to official business.
- (c) Work schedules and assignments.
- (d) Agendas and minutes of meetings.
- (e) Drafts of documents that are circulated for comment or approval.
- (f) Any document that initiates, authorizes, or completes a business transaction.
- (g) Final reports or recommendations.
- (h) Information supporting or affecting decisions made in conduct of government business.

(2) Some examples of messages that typically do not constitute records are:

- (a) Personal messages and announcements not related to official business.
- (b) Copies of extracts of documents distributed for convenience or reference.
- (c) Phone message slips.

(d) Announcements of social events, such as retirement parties or holiday celebrations.

b. Official records communicated through e-mail systems must be identified, managed, protected and retained as long as needed for ongoing operations, audits, legal proceedings, research, or any other known purpose IAW AR 25-400-2, this pamphlet, and the retention schedules on ARIMS RRS-A.

c. The official record copy of e-mail messages will be transferred to the ARIMS AEA records repository using the Electronic Capture and Store (ECS) application. This is accomplished at the time e-mail messages are transmitted by indicating whether or not the records should be transferred to storage. E-mail messages that are received are transferred by attaching them to another e-mail and selecting the "transfer" option as indicated above.

d. ARIMS is designed to accept and manage only the long-term "T" records created by the Army. It was determined that the short-term "K" records are better managed at the local level. For an office to manage their short-term, day-to-day business records, options that can be used include:

(1) The organization can acquire a certified Records Management Application (RMA) and have it installed on their local network. There are contracts already in place for the purchase of these applications.

(2) Set up shared folders on a local server based on the ORL. Action officers can "drag and drop" records into the appropriate folders. Office records coordinators would ensure folders are updated every year and records up for destruction are destroyed at the appropriate time. See Figure 3-15 for an example of electronic drag and drop filing.

e. E-mail messages sent or received in conjunction with government business may be accessed and monitored in the normal course of business by system administrators, supervisors, support staff, and records management officials. Users should keep this in mind when creating e-mails.

f. Users should:

(1) Protect e-mail messages, files, and records from unauthorized release to third parties.

(2) Remove personal and transitory messages from personal in-boxes on a regular basis.

(3) Protect e-mail messages from inadvertent loss or destruction by complying with backup requirements and recordkeeping requirements of AR 25-400-2 .

(4) Coordinate disposition of official records with the organization's records management officer to ensure that retention requirements are met.

(5) Ensure FOIA/PA e-mail messages are protected IAW AR 340-21.

g. Any copies of official records maintained on the user's system for reference purposes after transfer of the official copy may not be kept longer than the retention period approved for the record copy.

### **3-16. Information systems**

Electronic records that are part of information systems (IS) must also be managed and fall under the same recordkeeping requirements as other electronic records. An information system is defined as the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Establishing recordkeeping requirements for an information system requires, at a minimum full and accurate documentation of the system: the functions supported by the system; the operation, legal, audit, oversight, or historical requirements for the information; how the information will be used, accessed, and maintained on each medium to meet these differing requirements; and the procedural controls employed to preserve the integrity of the data in the system. The National Archives considers all components of electronic information systems as records: input, output, digital data stored in a variety of ways (master file), and the related documentation.

a. Any information generated by or contained in an information system must be preserved according to the disposition instructions contained in the ARIMS RRS-A. This includes information contained in Standard Army Management Information Systems (STAMIS), command or installation unique systems, standalone systems maintained in the office environment and web-based systems.

b. Functional proponents and information managers must:

(1) Define electronic record information disposition instructions during the need justification phase, milestone A, and review in the revalidation phase of each milestone in the life cycle management of the system. This would be a good time to review the office's business process also.

(2) Evaluate potential systems to determine the record information needed for business purposes and validate the retention periods of that information according to the disposition instructions identified in the ARIMS RRS-A. Any new, revised, or rescinded requirements will be coordinated with the agency records officer, who will notify the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860. The information needed to establish recordkeeping requirements and retention periods for records can also serve as a catalyst for answering many management questions that should be addressed when designing or updating an information system:

(a) What is the system's purpose? Does it serve different purposes for different users? Do the different purposes reflect different needs for retaining data?

(b) What inputs are needed and how long should they be retained? Are they needed for legal or audit purposes?

(c) How long does information need to be kept on line? Are on-line retention requirements directly mapped onto unit records or data sets?

(d) If the organization no longer needs data on line, does it need to retain it off line? For how long?

(e) Can requirements for retention and disposition of data be integrated with system design and operations, for example, with update procedures, regular backup operations, transfer to AEA, creation of history files, subset files and public use data sets?

(f) What will be done with the reports, either on paper or computer output microfilm, generated by the system? Will the reports be maintained on the system? For how long?

(g) Are multiple copies of the data needed? If so, in what media? In what locations? Do all media need to be maintained for the same length of time? What will happen to the different media, and when? How will the integrity and authority of the data be ensured?

(h) Is the information subject to the provisions of the PA? How do PA requirements for maintenance of timely, complete, relevant, and accurate information and limitation on access affect the agency's estimate of how long data should be kept?

(i) Is the information in the system part of the agency's vital records program? If so, what provisions must be made to ensure availability of the information in emergency situations?

(j) Who is responsible for maintaining up-to-date, authoritative documentation of the system and the data it contains? Where will the documentation be maintained?

(k) Which medium containing the data must be given special care to ensure data preservation for long-term operational needs or for archival purposes?

c. Determining the record information of an IS may be accomplished by reviewing the mission and functions statement of the office or offices supported by the system and evaluating its administrative, legal, or fiscal value. A review of similar information already scheduled and identified in the ARIMS RRS-A may also be useful. Within an IS, the record information may consist of the data records of individual transactions or data records of the final results of many transactions. Where there are no systematic data outputs, a periodic snapshot of an entire database may serve as the record. Depending on the architecture of the system, the records may be collected and preserved in on-line, near-line, or off-line storage while awaiting disposal or transfer to the Army Electronic Archive (AEA). Records designated as T records that are complete may be transferred to the AEA immediately upon creation or collected in the IS and transferred periodically. Alternatively, these records may be retained and preserved within the IS for their entire life cycle, provided that they are identified in the master index of records in ARIMS.

d. IS documentation. Documentation on all IS that produce, use, or store electronic records will be kept current according to applicable technical bulletins and standards. This means that program managers and information managers must --

(1) Ensure that all electronic records are accompanied by documentation sufficient to ensure that the information is accessible and usable. Minimum documentation consists of identifying the software programs and operating systems used to create the documents to the extent that technical specification, file arrangement, contents, coding, and disposition requirements of the files can be determined. Program and system documentation must be maintained for as long as the related information is kept.

(2) Ensure that documentation, to include a copy (or mirror image) of the software program, for IS containing or generating T records is transferred along with the related electronic records sent to the AEA, unless a prior transfer of the same information occurred and no changes were made. However, a statement to that effect will be included with the subsequent transfers to ensure that the information may be accessed and used.

(3) Documentation to determine if it --

(a) Adequately specifies all technical characteristics necessary to read or process the records.

(b) Identifies all inputs and outputs of the system.

(c) Provides an audit trail of changed or deleted information and the correct disposition of the information content and use.

(d) Defines the contents of the files and records.

(e) Clearly states the purpose(s) and function(s) of the system.

### **3-17. Automated office applications**

The final version of records created using office application software (Word, PowerPoint, Excel, etc) must also be maintained for the length of time indicated on the approved Army schedule. Whether they are maintained in electronic or hard copy form is dependent on the record application and available electronic storage. For example, if a document might become part of a case file that exists only in hardcopy form, it would be logical to print out a copy and place it with the rest of the file. In this instance, the electronic copy would be deleted within a specified timeframe after the recordkeeping copy has been produced. In no instance will a reference copy maintained on the PC be kept longer than the official record copy.

### **3-18. Image (bit-mapped) files**

Image files are created by processing hardcopy records through a scanner which digitizes and converts the information to bit-mapped images of the records. Bit-map is defined as a pattern of small pieces of computer data that forms an image. In an imaging system, digitized documents are stored as bit maps rather than individual characters such as ASCII characters.



*a.* Image files are normally written to optical media (laser disk, optical disk, optical card, optical tape, CD, DVD) and magnetic media (such as hard disks, tapes, diskettes) but some are placed on microfilm.

*b.* When combined with effective indexing, converting the files to images can shorten information retrieval time and allow access by multiple users. Without special software, computers generally cannot use the informational content of a raw image file to search for or retrieve a specific image. Search and retrieval normally depends on some form of indexing, which assigns specific metadata to each document, such as author, date, title, and keywords. The index can be simple or sophisticated, and is typically an electronic database that is linked to the images. Prior thought and planning should be put into the indexing before any imaging begins. Indexing is the most time-consuming portion of converting to an imaging system and many applications have failed because users did not consider the time and personnel needed to complete this task.

*c.* Images of textual records can be converted to searchable electronic text using optical character recognition (OCR) technology. OCR is accomplished by a software application that reads the images and produces text based on the recognized patterns in those images. The electronic text created by the OCR can be stored in computer-readable form for search and retrieval purposes. Not all records are good candidates for OCR though. Documents containing handwriting, poor contrast, unusual type fonts, forms or mixed text/image documents are among those that are not good candidates. Even good quality originals will require some form of clean-up of raw OCR text that was unreadable.

*d.* Do not convert to an imaging system without good justification. The decision should be based on increased productivity and efficiency or quality of service. Costs include more than the initial purchase of the imaging system. You almost always need a maintenance contract on the system which will involve a yearly cost. You may also incur migration costs if the information has to be retained for periods longer than five to ten years.

*e.* Advantages to implementing an imaging system:

- (1) Increased storage capacity.
- (2) Elimination of "out-of-file" problems.
- (3) Shortened retrieval times.
- (4) Improved retrieval by multiple users.
- (5) Ease of information dissemination.

*f.* Disadvantages to implementing an imaging system:

- (1) Expensive hardware and resource-intensive indexing requirements.

(2) Rapid technological changes that require frequent upgrades of hardware and software.

(3) Migration and conversion of records in imaged format may also be needed to protect the information in records not yet eligible for disposal.

(4) Digital images are not human-readable without computer equipment.

g. In addition to cost factors, other factors that should be considered when determining whether to image documents include:

(1) *Volume of records.* Imaging is generally used for large volumes of records.

(2) *Reference use.* Imaging is most effective on highly referenced collections where a short retrieval time is important or where there are multiple users accessing the same records. Combined with effective indexing, imaging records can facilitate retrieval.

(3) *Relationship to records in other media.* Consider whether the records to be imaged have to be used with records on other media.

(4) *Records and information usage.* Consider how the information is used and how long the record is needed. Required retention periods are specified in records schedules.

(5) *Legal acceptability.* Following established procedures and maintaining the documentation of audit trails and other business practices will ensure that information is retained to document record authenticity and reliability.

(6) *Ease of maintenance.* Balance storage costs and capacity with indexing, conversion, quality control and migration costs.

(7) *Staffing requirements.* Increased imaging and indexing of records and quality control procedures may require additional staff training.

(8) *Work process and information flow.* Would imaging facilitate the work process? Considerations include how records are routed, how information is added to records or files, and when records (finals or drafts) need to be captured.

(9) *Verification of signatures.* If signature verification is a requirement, consider that forensic analysis of signatures is not possible with imaged records.

(10) *Document preparation.* Determine how much work needs to be done to make the files ready for imaging. Document preparation for voluminous files may be significant.

(11) *Quality control (QC) issues.* QC procedures must be instituted both while preparing documents for imaging and while verifying and validating imaged information.

(12) *Condition of original records.* The condition of the records will affect their handling during imaging as well as the quality of the imaged record that can be produced. This will particularly be a factor for records that are damaged, faded or oversized.

(13) *In-house versus contracting out.* Feasibility of in-house operation versus contracting operations with a service bureau.

(14) *Image requirements.* Resolution, compression, headers, etc, will vary depending on how the images will be used.

(15) *Indexing.* Indexing requirements and metadata fields are determined by established standards and analyzing how users will access images.

(16) *Conversion requirements.* Necessity of converting permanent records to an acceptable format prior to transfer to the National Archives of the United States.

*h.* Image files incur the same disposition as the hardcopy from which they are derived. Normally, the hardcopy files are disposed of after verification that the image file is a true representation of the hardcopy file. Permanent source records, however, may not be destroyed without NARA approval.

### **3-19. Web pages**

Web pages vary in content and sources. If the information contained and/or displayed on a web page qualifies as record material, then the owner or managing organization of that web page is responsible for ensuring the record information has a record copy identified and preserved according to the retention requirements in the Army records schedules.

*a. Documentary materials.* The documentary materials agencies accumulate in connection with the transaction of official business are Federal records. Since agency web sites are used to carry out agency business, the related records meet this definition and like all other records must be managed and disposed of in accordance with NARA-approved disposition schedules. The schedule should cover web content records that document the information on the site itself, as well as include web site management and operations records, which provide the site's context and structure.

(1) Web content records include:

- (a) The content pages that comprise the site, inclusive of the HTML markup.
- (b) Images of web pages created to document web site content, if an agency chooses to document its site by creating such records.
- (c) Listings of the URLs referenced by site's hyperlinks.
- (d) Records generated when a user interacts with the site.

(2) Web management and operations records that provide context to the site include:

(a) Web site design records.

(b) Records that specify an agency's web's policies and procedures by addressing such matters as how records are selected for the site and when and how they may be removed.

(c) Records documenting the use of copyrighted material on a site.

(d) Records relating to the software applications used to operate the site.

(e) Records that document user access and when pages are placed on the site, updated, and/or removed.

(3) Web management and operations records that provide structure related to the site include:

(a) Site maps that show the directory structure into which content pages are organized, and

(b) COTS software configuration files used to operate the site and establish its look and feel, including server environment configuration specifications.

*b. Records management risks associated with a web site.* There are two basic records management risks associated with a web site:

(1) Failures to create records that are needed to ensure that the site is trustworthy; or

(2) Failures to maintain records for an adequate period of time.

If these risks are not mitigated, an agency may be unable to document and/or validate transactions that occurred via a web front end interface, or it may not be able to show what was on a site at a given point in time and who put materials onto the site, and when they were modified or removed. As a result, program operations could be impaired, citizens' rights compromised, negative publicity might be generated among agency stakeholders, the media, and/or the public at large, and in some instances, the agency could be exposed to costly litigation.

*c. Web snapshots.* Business needs and the need to lessen risk determine whether or not such snapshots are warranted and their frequency. In determining whether or not snapshots should be taken, the agency should also consider the frequency with which the information on a site changes. Other things being equal, the more frequent the site undergoes change, the more frequently should snapshots be taken.

*d. Retention periods for web records.* When determining retention periods, the agency needs to assess how long the information is needed to satisfy business needs and mitigate risk, taking into account government accountability and the protection of legal rights. In the case of web content that is available in other places in addition to the web, records would more than likely take on the same retention period and would use the already in place schedule as the records disposition authority. However, in the case of information unique to the web site, the web version would be the only recordkeeping copy and would need scheduling.

(1) In many cases, particularly where the risk is low, the web content and the related site management and operation records should be assigned a retention period that allows disposal as soon as records are no longer needed in the conduct of agency business.

(2) In instances where risk levels are higher, web content and the related web management and operations records would probably warrant retention for a period of time that exceeds the time needed to satisfy all business requirements. The extra time needed in order to mitigate risk ought not to be more than 3-5 years beyond the retention period mandated by business needs alone. However, the mitigation of risk may require an even longer retention period in selected instances.

*e. Scheduling.* As with other agency records, most web records do not warrant permanent retention and should be scheduled for disposal in accordance with the guidance provide above.

*f. Scheduling POC.* ARMDA will be contacted for assistance in getting agency web site records scheduled.

### **3-20. Judicial use of electronic records**

*a.* Electronic records may be admitted in evidence to Federal courts for use in court proceedings (Federal Rules of Evidence 803(8)) if trustworthiness is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it.

*b.* To enhance the legal admissibility of electronic records, implement procedures that --

(1) Document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.

(2) Substantiate that security procedures prevent unauthorized addition, modification, or deletion of a record and ensure system protection against such problems as power interruptions.

(3) Identify the electronic media on which records are stored throughout their life cycles, the maximum time span that records remain on each storage medium and the NARA-approved disposition of all records according to AR 25-400-2.

*c.* Coordinate all of the above with local legal staff and senior information and records management staff.

**3-21. Managing records on electronic media**

a. Information created within the Army may be recorded on media in machine-readable format. Approved Army disposition schedules apply to all Army recorded information, regardless of the medium upon which recorded. In order to protect the rights and interests of the Army and its members, keep costs to a minimum and serve the study of history, storage media for long-term records must be selected to best serve the operational needs of the Army and meet statutory scheduling requirements. These decisions are vital considerations in the design state of information life-cycle management.

b. Electronic records require the same levels of protection as any other media. Proper management provides for economic, efficient, and reliable maintenance, retrieval, preservation, storage, and scheduled disposition of the information. All personnel must comply with the Army records disposition schedules in RRS-A when disposing or erasing media that stores the only copy or the official copy of the record.

c. Media and systems selected to store and manage electronic records throughout their life cycle must meet the requirements of Department of Defense (DOD) 5015.2-STD.

(1) ARIMS meets the requirements of DOD 5015.2-STD for storing, maintaining, and transferring or disposing of all electronic T records.

(2) Copies of T records stored in or generated by an AIS or other automation source that are completed should be sent to ARIMS as soon as practical for secure long-term storage in the AEA.

(3) Specific instructions for sending records to the AEA are in Chapter 6.

**3-22. Labeling**

Electronic labeling may consist of anything from the naming of shared agency folders or separately managed folders on an individual PC to a detailed index of single documents that provide references or links to associated material for a complete record.

a. *External labels.*

(1) Labels used on disks (floppies, CD-ROM, etc) should include the disposition code, record number(s)/titles, begin and end dates, PA number (if applicable), software used to create the records and classification if classified. See Figure 3-16 - Sample external label for disks.

(2) Labels on magnetic tape containers should include the volume/serial number, name of the program office sponsoring the data, and data set names.

(3) If applicable, access restrictions should be included on any external label.

b. *Internal labels.*

(1) For internal labeling, document, file and directory naming conventions should be easily understandable and standardized so authors and their colleagues or successors can find stored information and maintain and dispose of records on schedule.

(2) Labeling, naming and filing conventions should be simple. One method is to file like documents in the same directory. Also, see Figure 3-15 for an example of electronic drag and drop filing).

(3) Indexing is another way to find electronic documents. When used, the system should require the document creator to indicate the name of the document, the addressee, the date, and the identifier of the disk or server on which it is stored.

(4) Any access restrictions should be controlled by the software application.

### **3-23 Use of optical media**

*a.* Activities may transfer to CD-ROMs, TP records that include fielded data files or text files for eventual preservation by the National Archives that comply with the technical and documentation requirements specified in 36 CFR 1228.270 that, for example --

(1) Conform to the International Standards Organization (ISO) 9660 standard.

(2) Comply with the American Standard Code for Information Interchange (ASCII) standard.

(3) Are not dependent on control characters or codes not defined in the ASCII character set.

(4) Are not compressed unless the software to decompress files is provided.

(5) Are individually addressable.

*b.* When permanently valuable electronic records on CD-ROM exist on other media such as magnetic tape, the organization retiring the records will coordinate with the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 to determine which medium is more appropriate for transfer of the records to the National Archives.

*c.* The National Archives will accept audio compact discs and analog videodisks that typically contain photographs, provided they do not require interactive software or nonstandard equipment to view. Original photographs appraised as permanent and copied onto videodisks will be scheduled for transfer to the National Archives along with the copy of the videodisk.

*d.* Records contained on CD-ROM for transfer will be labeled and documented in accordance with AR 25-400-2 and this pamphlet.

e. Army organizations may use optical disk systems for storing and retrieving permanent records while the records remain in their legal custody; however, approval to destroy the hardcopy source documents must be obtained from the ARMDA who will do the necessary coordination with NARA.

f. Permanent records on optical media other than on CD-ROMs are not currently being accepted by NARA. At the time of scheduled transfer to the National Archives, information will have to be copied to a medium acceptable by NARA at the time of the transfer.

g. In order to be acceptable by the National Archives, the files on CD-ROMs must comply with the format and documentation requirements specified below:

(1) *Formats*. The organization may not transfer to the National Archives electronic records that are in a format dependent on specific hardware and/or software. The records must be written in ASCII (American Standard Code for Information Interchange) or EBCDIC (Extended Binary Coded Decimal Interchange Code) with all control characters and other non-data characters removed (except as specified in paragraphs g(1)(a), (b), and (c) of this section). The records must not be compressed unless NARA has approved the transfer in the compressed form in advance. In such cases, NARA may require the organization to provide the software to decompress the records.

(a) *Data files and databases*. Data files and databases must be transferred to the National Archives as flat files or as rectangular tables (for example, as two-dimensional arrays, lists, or tables). All "records" (within the context of the computer program, as opposed to a Federal record) or "tuples," (for example, ordered collections of data items, within a file or table should have the same logical format). Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items. The file should not contain extraneous control characters, except record length indicators for variable length records, or marks delimiting a data element, field, record, or file. If records or data elements in different files need to be linked or combined, then each record must contain one or more data elements that constitute primary and/or foreign keys enabling valid linkages between the related records in separate files.

(b) *Textual documents*. Electronic textual documents must be transferred as plain ASCII files; however, such files may contain Standard Generalized Markup Language (SGML) tags.

(c) *Digital spatial data files*. Digital spatial data files must be transferred to NARA in accordance with the Spatial Data Transfer Standard (SDTS) as defined in the Federal Information Processing Standard 173-1 (June 10, 1994) which is incorporated by reference. Digital geospatial data files created on systems procured prior to February 1994 which do not have a SDTS capability are exempt from this requirement. Agencies should consult with NARA for guidance on transferring noncompliant digital geospatial data files created between February 1, 1994 and the effective date of this paragraph. The standard cited in this paragraph is available from the National Technical Information Service, Department of Commerce, Springfield, VA 22161. When ordering, cite FIPSPUB173-1, Spatial Data Transfer Standard (SDTS). This standard is also available for inspection at the Office of the Federal Register, 800 North Capitol Street, NW, Suite 700, Washington, D.C. This incorporation by reference was approved by the



Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the *Federal Register*.

(d) Other formats (PDF, e-mail, scanned images, etc). NARA is continually expanding its guidance for transfer of permanent electronic records to the National Archives by supplementing current requirements in 36 CFR 1228.270. See <http://archives.gov/records-mgmt/initiatives/erm-guidance.html> for the *latest guidance on these additional formats*.

(2) *Documentation*. Documentation adequate to identify, service and interpret electronic records that have been designated for preservation by NARA must be transferred with the records. This documentation must include completed NARA Form 14097, Technical Description for Transfer of Electronic Records, and a completed NARA Form 14028, Information System Description Form, or their equivalents. Where possible, organizations should submit required documentation in an electronic form that conforms to the provisions of this section.

(a) *Data files*. Documentation for data files and data bases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred.

(b) *Digital spatial data files*. Digital spatial data files must include the documentation specified in paragraph (g)(2) of this section. In addition, documentation for digital spatial data files may include metadata that conforms to the Federal Geographic Data Committee's Content Standards for Digital Geospatial Metadata, as specified in Executive Order 12906 of April 11, 1994 (3 CFR, 1995 Comp., p. 882).

(c) *Documents containing SGML tags*. Documentation for electronic files containing textual documents with SGML tags must include a table for interpreting the SGML tags, when appropriate.

| <b>RECORDS CROSS REFERENCE</b><br>For use of this form, see DA Pam 25-xx; the proponent agency is OAA |                               |  |  |
|---|-------------------------------|--|--|
| File this sheet to show where related files are located.  |                               |  |  |
| 1. ARIMS RECORD NUMBER (in which this cross reference sheet is filed)                                 |                               | 2. ARIMS RECORD NUMBER TITLE   |  |
| 3. RELATED RECORD INFORMATION (Use a separate DA Form 1613 for each related record.)                  |                               |  |  |
| a. ORIGINATOR   |                               |  |  |
| b. ADDRESSEE(s) (Use Item 3g if more space is needed.)  |                               |  |  |
| c. SUBJECT  |                               | d. DATE  |  |
| e. LOCATION (of where record is filed.)   |                               | f. MEDIA<br><input type="checkbox"/> HARDCOPY<br><input type="checkbox"/> ELECTRONIC |  |
| (1) ARIMS RECORD NUMBER   | (2) ARIMS RECORD NUMBER TITLE |  |  |
| g. SUMMARY (Give a brief summary/description of the contents of the related record.)                  |                               |  |  |
| <div style="height: 400px;"></div>  |                               |  |  |
| DA FORM 1613, JAN 06  |                               | REPLACES DA FORM 1613, JAN 93  |  |
| Figure 3-1 - Sample DA Form 1613  |                               |  |  |

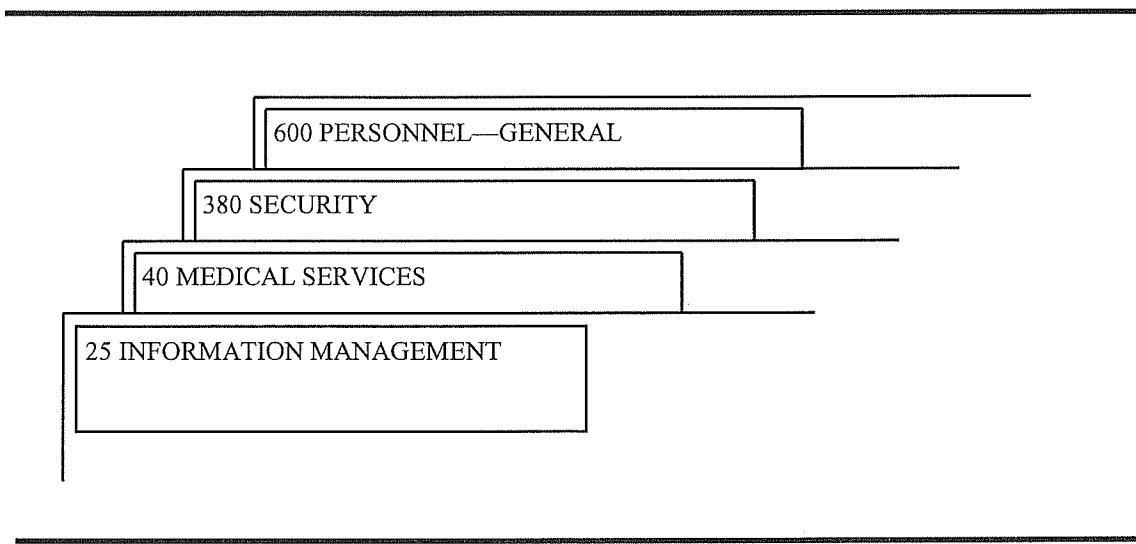


Figure 3-2. Sample use of guide cards

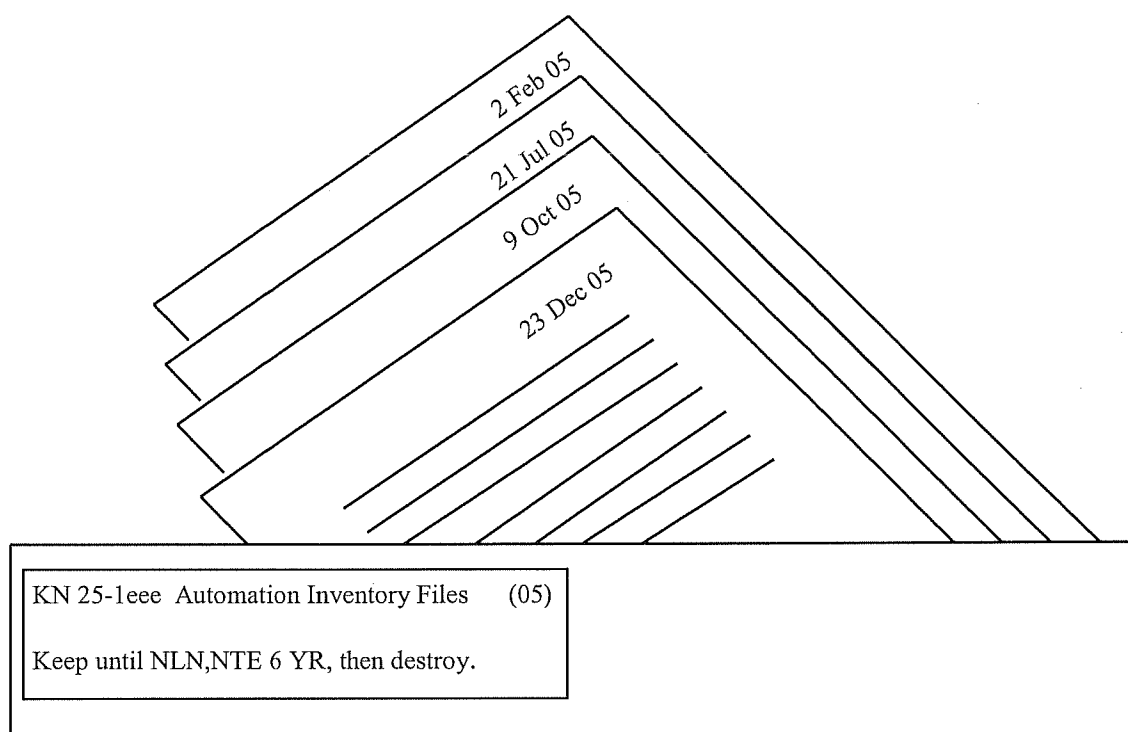


Figure 3-3. Sample date arrangement of documents within a folder

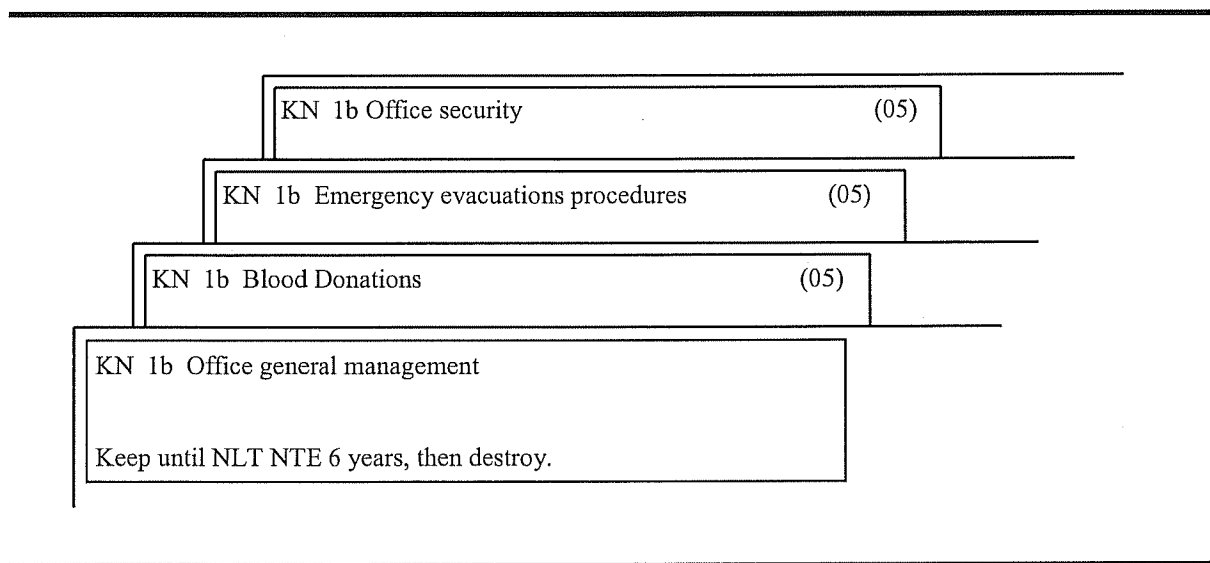


Figure 3-4. Sample subject arrangement of files within a records series

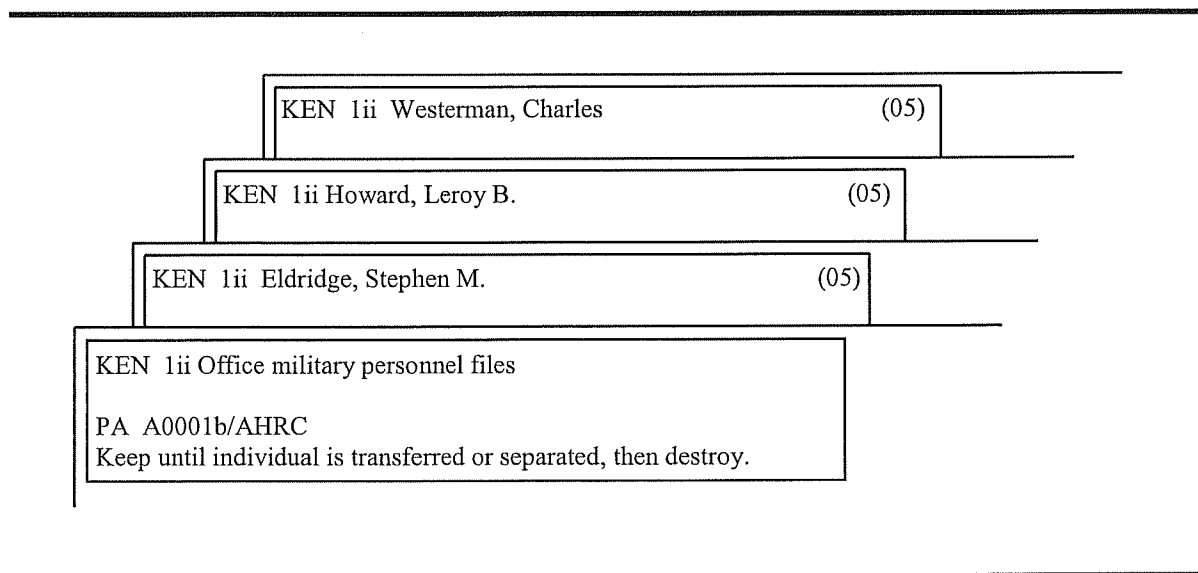


Figure 3-5. Sample personal names arrangement of files

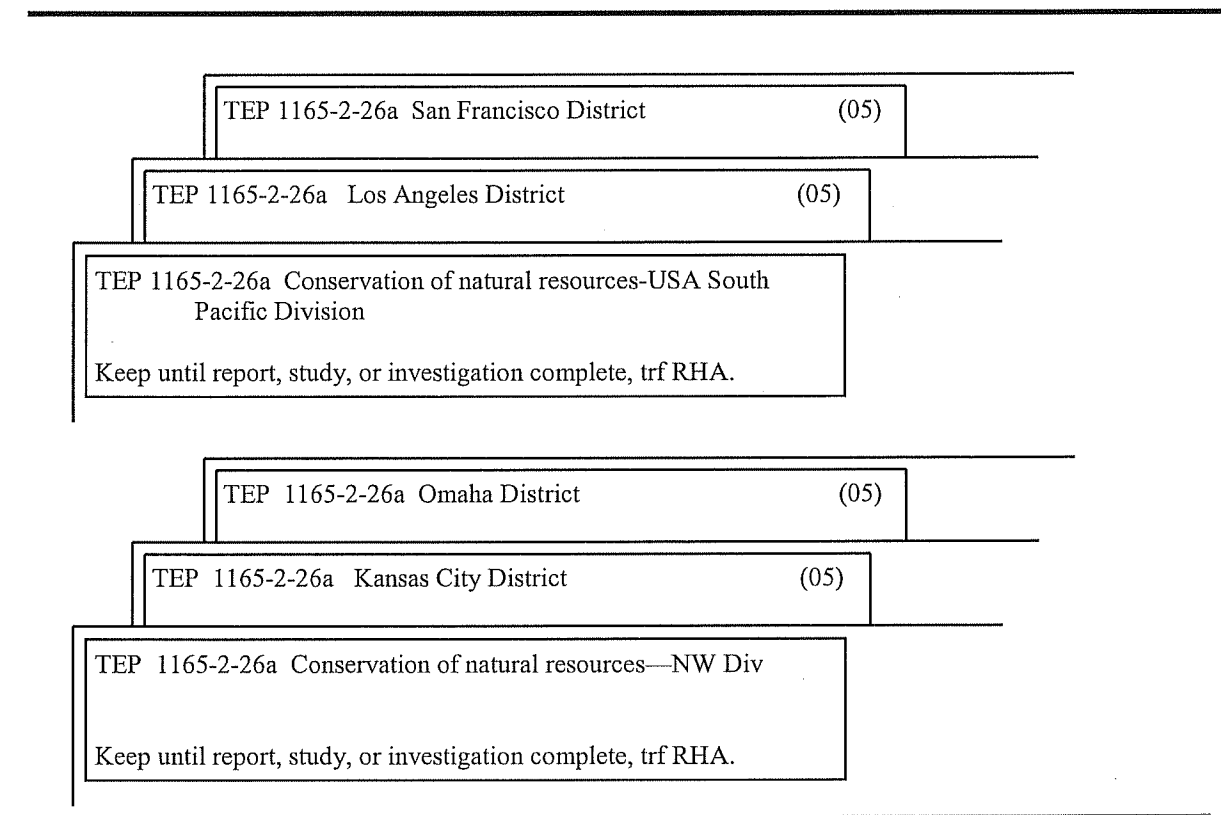


Figure 3-6. Sample place names arrangement of files

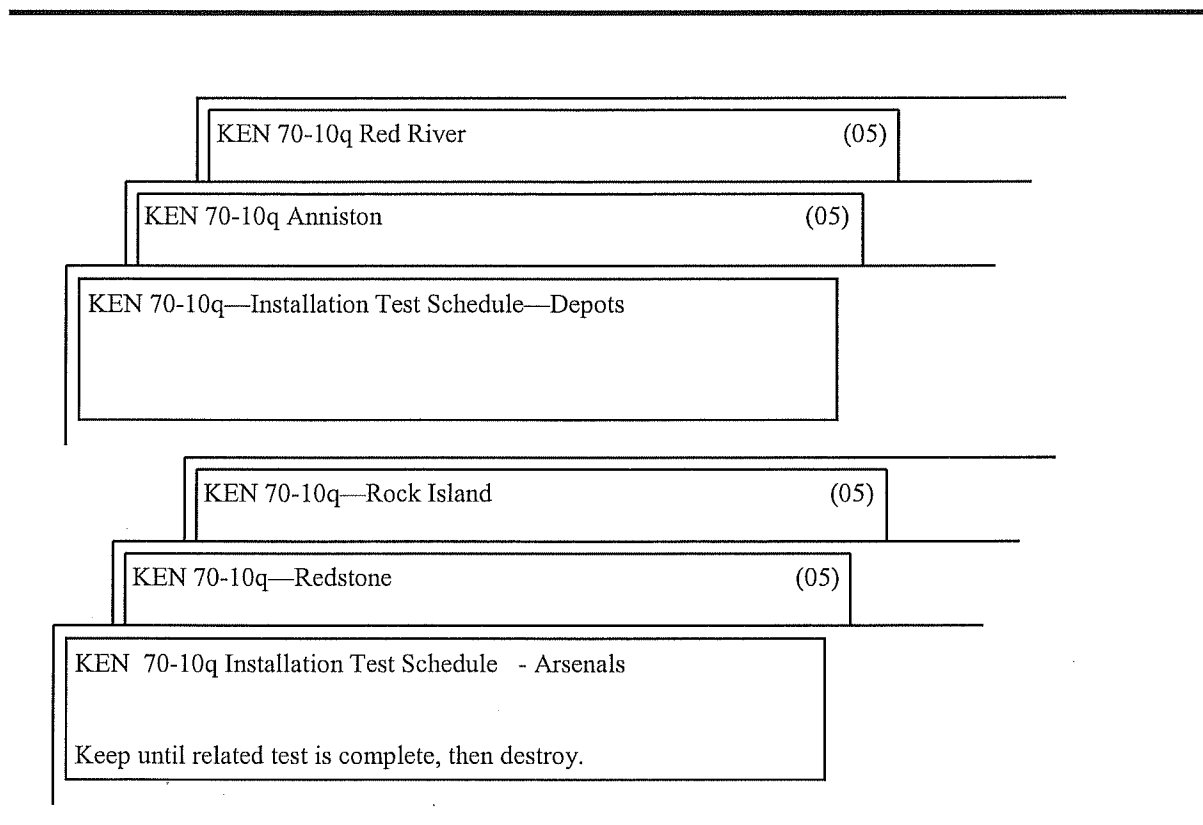


Figure 3-7. Sample organization names arrangement of files



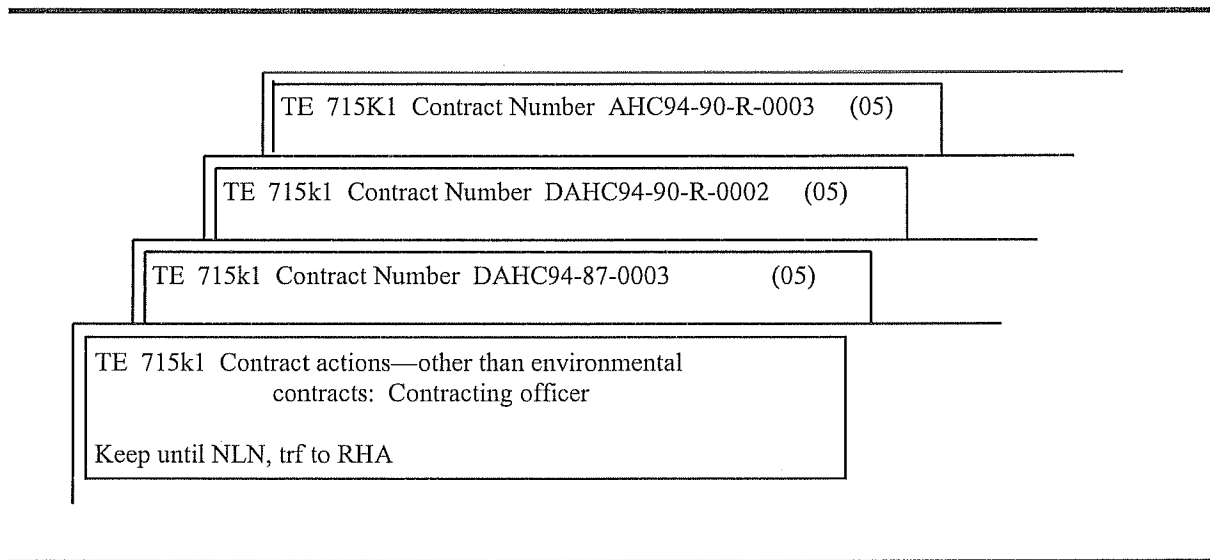


Figure 3-8. Sample numeric arrangement of files

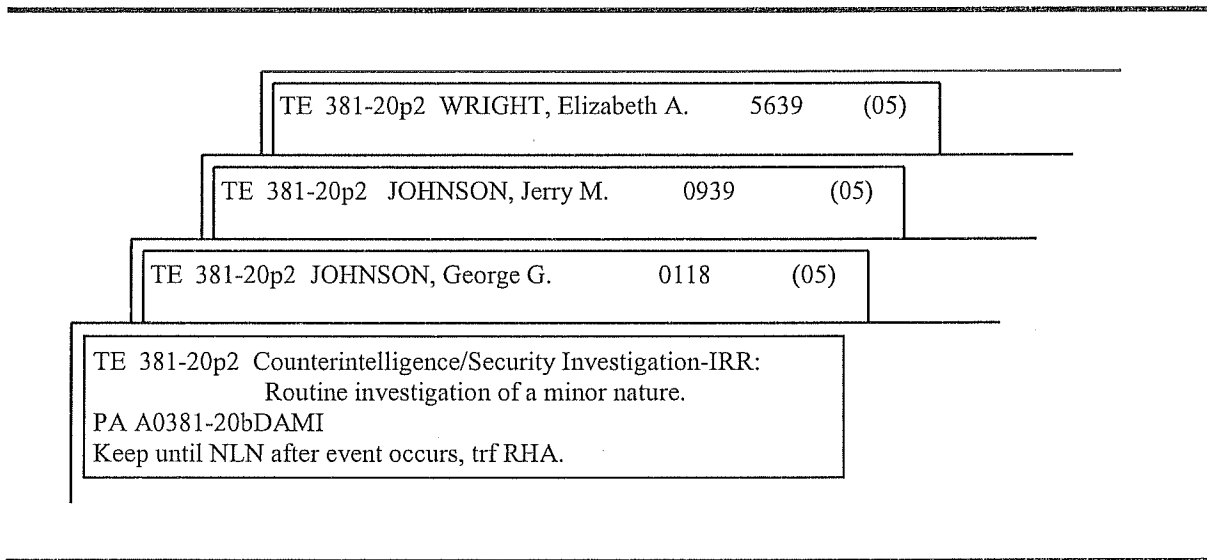


Figure 3-9. Sample alphanumeric arrangement of files



TP 1-100a1 Army gift offers—Accepted (06)

PA A0870-5DAMH  
Keep until NLN, trf RHA.

K FOIA administrative files (06)

K Office classified material inventories (06)  
PA A0001DAMI



TEP 70-1n1 RD project controls—Ofc w/ (06)  
Army-wide responsibility  
Keep until project completed, cancelled or terminated, trf  
RHA.

K 1w Office general personnel files (06)  
HOOD, ROBIN  
PA A0001SAIS  
Keep until NLN, NTE 6 yr, then destroy.



T 36-2c1 AAA Audit reporting files—USAAA (06)

Keep until NLN, trf RHA.

Figure 3-10. Sample file and barcode labels

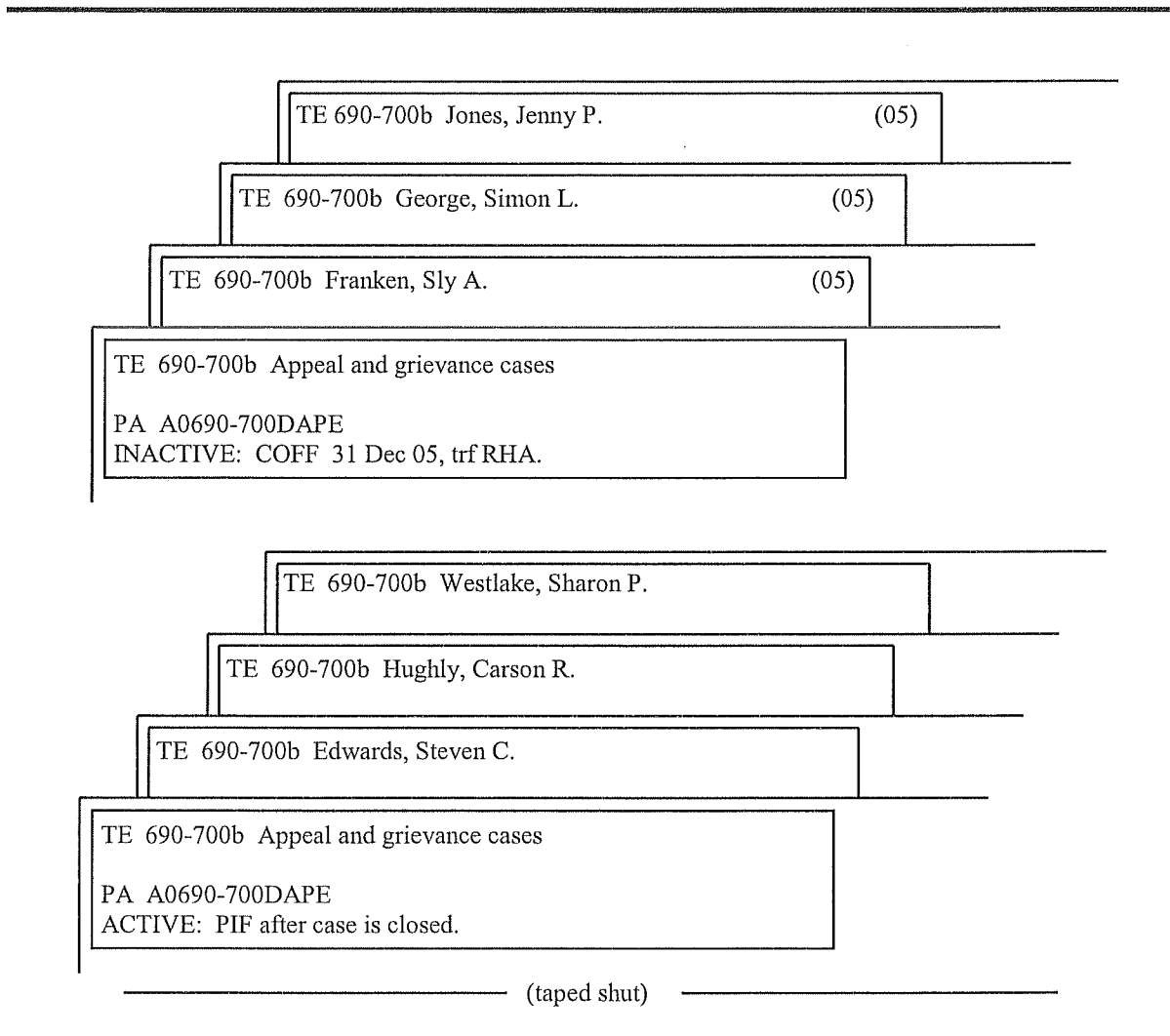
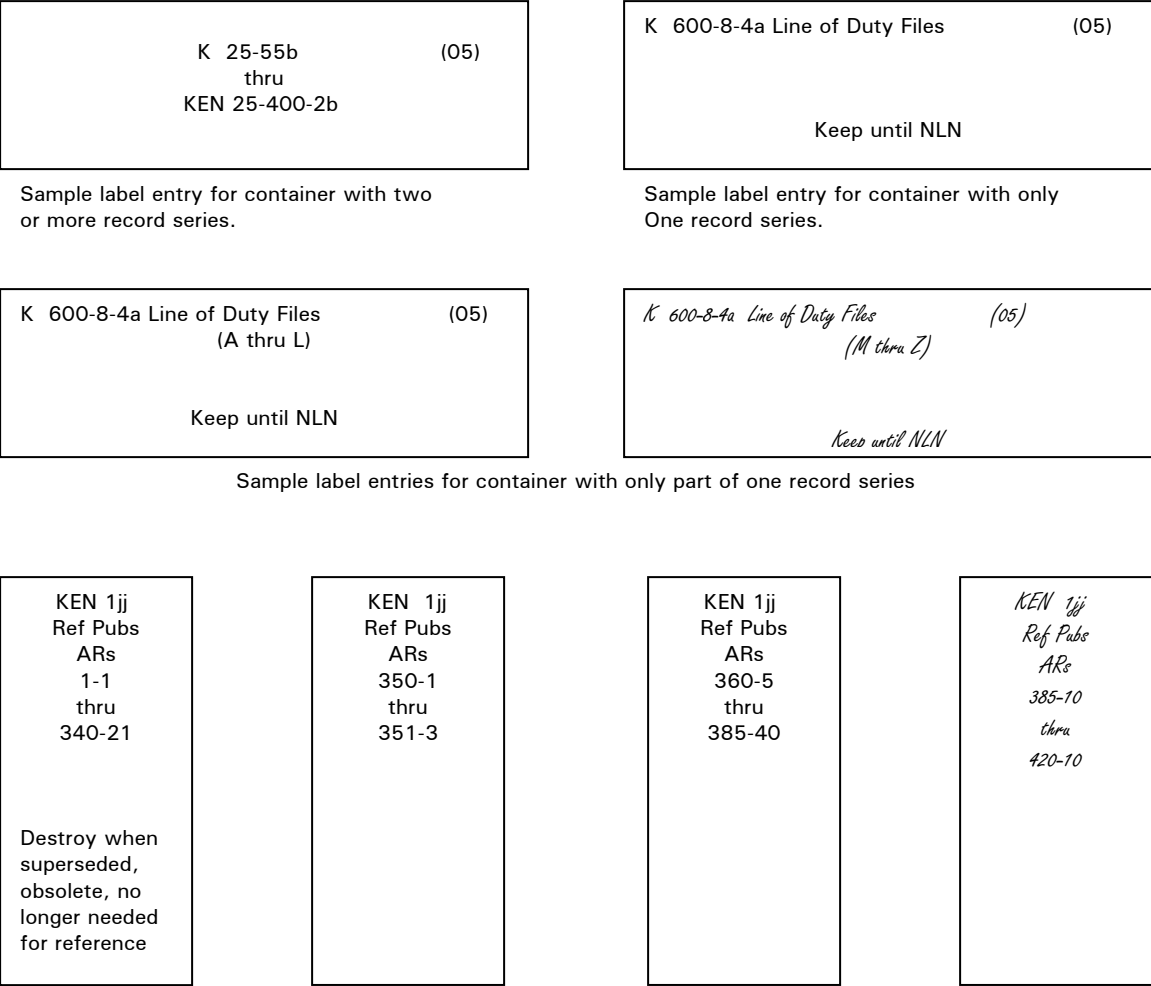


Figure 3-11. Sample label entries and use of “dummy” folder



Sample label entries for container with only part of one record series

Figure 3-12. Sample file container and binder label entries

---

| Classification | Description of Document   | Background Density |
|----------------|---|--------------------|
| Group 1        | High-quality, high contrast printed book, periodical, and black typing.   | 1.3 – 1.5          |
| Group 2        | Fine-line originals, black opaque pencil writing, and documents with small high contrast printing.  | 1.15 – 1.4         |
| Group 3        | Pencil and ink drawings, faded printing, and very small printing, such as footnotes at the bottom of a printed page.                                    | 1.0 – 1.2          |
| Group 4        | Low-contrast manuscripts and drawing, graph paper with pale, fine-colored lines; letters typed with a worn ribbon; and poorly printed, faint documents. | 0.8 – 1.0          |
| Group 5        | Poor contrast documents (special exception).  | 0.7 – 0.85         |

Figure 3-13. Recommended visual diffuse transmission background densities for images of documents

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| Film Type      | Process       | Density Measurement Method | Minimum Dmax <sup>1</sup> | Maximum Dmin <sup>1</sup> | Minimum Density Difference |
|----------------|---------------|----------------------------|---------------------------|---------------------------|----------------------------|
| Silver gelatin | Conventional  | Printing or diffuse        | 0.75                      | 0.15                      | 0.60                       |
| Silver gelatin | Full reversal | Printing                   | 1.50                      | 0.20                      | 1.30                       |

<sup>1</sup> Character or line density, measured with a microdensitometer or by comparing the film under a microscope with an image of a known density.

Figure 3-14. Recommended visual diffuse transmission background densities for computer generated images

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## “Drag and Drop”

### Mailbox - J. Jones

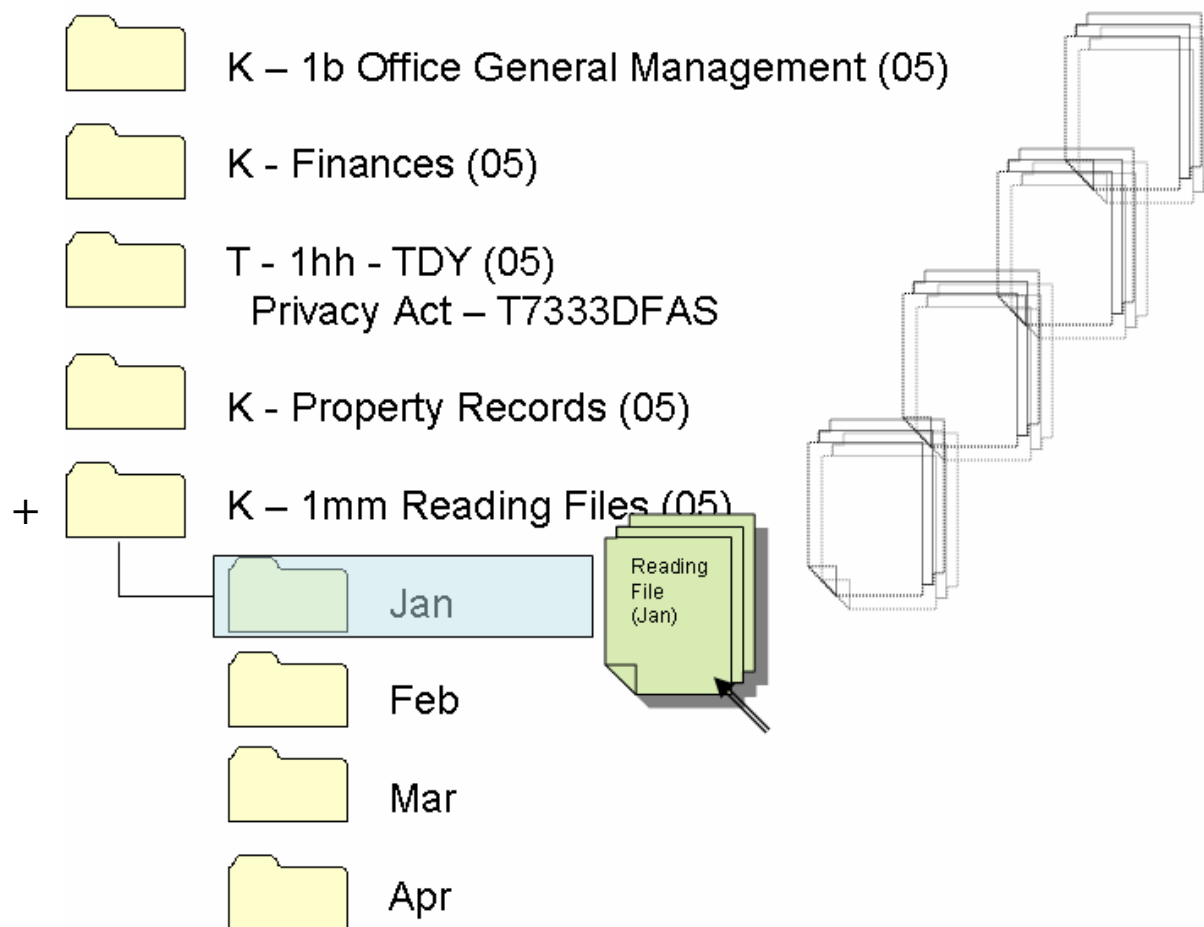


Figure 3-15. Example of electronic drag and drop filing



---

**Labels include:**

Disposition Code  
Record Number(s)  
Descriptive title of contents (record series)  
Privacy Act Notice Number (if applicable)  
Beginning and ending dates  
Classification  
Software and hardware create information

K 1a, 1f, 1z, 1bb, 1oo Housekeeping Files  
PA: A0001DAPE  
2005 - 2006  
Unclassified  
MS Word Documents

---

Figure 3-16 - Sample External Disk Label

## **Chapter 4**

### **Applying disposition instructions.**

#### **4-1. Disposition.**

Federal records need to be distinguished from non-record materials and personal papers for disposition purposes. Disposition is a comprehensive term that includes destruction as well as other actions, such as the transfer of permanent records to the National Archives. Non-record information requires only agency approval for disposition and the individual owner determines the disposition of personal files. Disposition of Federal records, however, is authorized only when an agency has received NARA's approval. All record numbers listed on the ARIMS RRS-A with the exception of those marked "TBD" have received NARA's approval. The "TBD" record numbers have a working SF 115, Request for Records Disposition Authority, at NARA. Submission of an SF 115 to NARA is restricted to ARMDA. (See Chapter 5.)

#### **4-2. Records value.**

All records have value to the agency creating or receiving them or to oversight or other agencies. Some records also have permanent value and warrant preservation by the National Archives after the agency no longer needs them to conduct regular current business.

*a. Administrative value.* All records have administrative value because they are necessary to conduct the agency's current business. They can be short-term or long-term records depending on what they document.

*b. Fiscal value.* Along with general administrative value, some records (such as budget records, accounting records) have fiscal value. The retention of these records is usually based on a statutory requirement.

*c. Legal value.* In addition to administrative and fiscal value, some records have legal value. Examples of records with legal value include formal decisions and legal opinions; documents containing evidence of actions in particular cases, such as claims papers and legal dockets; and documents involving legal agreements, such as leases, titles, and contracts. The length of retentions on such records is usually based on statutes of limitation or regulations. Special concern for legal value applies only to temporary records, because if permanent they will always be available to protect legal rights.

#### **4-3. Retention periods.**

Although Army commands recommend retention periods, only NARA can determine and approve final disposition. The NARA works with agencies to ensure that the retention periods for temporary records are adequate, but not excessive, for agency needs and for the protection of individuals. The NARA also ensures that disposition instructions meet the requirements of other agencies having an interest in certain categories of records; for example, the Office of Personnel Management in civilian personnel records and the General Accounting Office in program and financial records.

45       *a. Permanent records.* NARA designates records as permanent if they have sufficient  
46 historical or other value to warrant their continued preservation by the Government. Relatively  
47 few records are considered permanent.  
48

49           (1) All records that NARA designates as permanent must be transferred to the National  
50 Archives when they are no longer needed for business purposes. Normally, when records are  
51 scheduled, transfer instructions are included in the disposition and the records are transferred  
52 according to the schedule.  
53

54           (2) Permanent records should be transferred within 30 years of the cutoff for paper  
55 records, with a much shorter timeframe for electronic, microfilm or audiovisual.  
56

57           (3) Pending transfer, records may be held for a specific time in the AEA, an Army RHA  
58 or a NARA FRC.  
59

60           (4) When records are transferred into the National Archives, the agency also transfers  
61 legal custody of the records. The National Archives takes conservation measures needed to  
62 preserve the records and also provides reference service, including service to the creating  
63 agency. Service to the creating agency for transferred records is provided at no charge.  
64

65           (5) Types of records normally appraised by NARA for permanent, or archival, retention  
66 are:  
67

68           *(a) Organization and functions.* Records on organization and functions, such as  
69 organizational charts which show a detailed description of the arrangement and administrative  
70 structure of the functional unit of agency, reorganization studies conducted to design an efficient  
71 organizational framework to carry out the agency's programs, and formally prepared functional  
72 statements showing the responsibilities assigned to agency officials at the division level and  
73 above.  
74

75           *(b) Formal minutes of boards and commissions.* These document substantive policy  
76 and procedural decisions, especially when a board or commission rather than an individual  
77 appointee gives an agency executive direction.  
78

79           *(c) Records of internal agency, interagency, and non-Federal committees.* Included are  
80 minutes, agenda, proposals submitted for review, and final recommendations of meetings of ad  
81 hoc committees as well as more formally established councils, conferences, task forces and study  
82 groups attended by senior agency officials.  
83

84           *(d) Legal opinions and comments on legislation.* These are memoranda prepared by an  
85 agency's legal counsel or program officials on interpretations of existing laws and regulations, or  
86 the effects of proposed laws and regulations governing the agency or having a direct affect on its  
87 operations.  
88

89           (e) *Formal directives, procedural issuances, and operating manuals relating to*  
90 *program functions.* Formal directives are distributed as orders, regulations, circulars or manuals  
91 announcing major changes in the agency's policies and procedures.  
92

93           (f) *Selected evaluations of internal operations.* These are studies conducted to  
94 determine the effectiveness of the procedures adopted to achieve established policy goals.  
95

96           (g) *Analytical research studies and periodic reports.* This category includes analytical  
97 research studies and periodic reports prepared by the agency, or by private organizations or  
98 individuals under contract to the agency or in receipt of a grant from the agency.  
99

100           (h) *Agency histories and selected background materials.* This category usually consists  
101 of narrative agency histories and histories of agency programs, including oral history projects  
102 completed by agency historians, public affairs officers, or private historians under agency  
103 contract.  
104

105           (i) *Briefing materials.* These consist of statistical and narrative reports and other  
106 summaries, including audiovisual materials, created to inform agency heads and their senior  
107 advisers of the agency's current status or of major issues confronting the agency.  
108

109           (j) *Public relations records.* These include speeches, addresses, and comments made at  
110 formal ceremonies and during interviews by agency heads or their senior assistants concerning  
111 agency programs and activities and news releases regarding significant events such as adoption  
112 of new agency programs, termination of old programs, major shifts in policy, and changes in  
113 senior agency personnel  
114

115           (k) *Publications.* This category consists of formal publications printed or issued by the  
116 Government Printing Office, the national Technical Information Service, and outside contractor,  
117 or the agency itself. Examples include annual reports to Congress; studies conducted by the  
118 agency or under contract for the agency; and procedural brochures, pamphlets, and handbooks  
119 distributed for guidance to other Federal agencies, State and local governments and private  
120 organizations and citizens.  
121

122           (l) *Selected audiovisual and graphic records.* These consist of agency-originated  
123 motion pictures, still photographs, posters, audio and video recordings, cartographic materials,  
124 and architectural drawings created to record substantive events or information that cannot be or  
125 normally is not recorded in written form, along with related records needed to identify and  
126 facilitate the use of such records.  
127

128           (m) *Records documenting substantive agency programs.* These records include  
129 correspondence with the President and the Executive Office of the President, members of  
130 Congress and congressional committees, other Federal agencies, and private organizations and  
131 individuals; internal agency memoranda; narrative and statistical reports; budget estimates and  
132 justifications; and other records documenting all of the agency's substantive program functions.  
133

- 134 (n) Electronic records replacing paper or microform records, such as reports and  
135 indexes, already scheduled as permanent on non-electronic media.  
136
- 137 (o) Automated indexes to permanent records.  
138
- 139 (p) Management information having Government-wide coverage or significance.  
140
- 141 (q) Socioeconomic information on topics such as trade, education, health, or behavior.  
142
- 143 (r) Natural resources information related to land, water, minerals, or wildlife.  
144
- 145 (s) Information documenting military or civilian operations during times of war, civil  
146 emergency, or natural disaster.  
147
- 148 (t) Political or judicial information related to such topics as elections, special  
149 investigation, or court proceedings.  
150
- 151 (u) Digital cartographic information used to map the earth's surface and atmosphere,  
152 other planets, and planetary satellites.  
153
- 154 (v) Digital architectural and engineering information used to plan and construct  
155 selected buildings or other structures, complete major public works projects, and produce  
156 significant weapons and machines.  
157
- 158 (w) National security and international relations information documenting such  
159 activities as strategic or foreign policy assessments, intelligence collection, foreign public  
160 opinion, or international negotiations.  
161
- 162 (x) *Selected case files.* Case files for most series or systems are scheduled as  
163 disposable; however, sometimes NARA designates all within a series or system for permanent  
164 retention, especially when they are electronic master data files and occasionally selects only a  
165 few of those within a series or system as permanent. Individual case files may be chosen  
166 because the case meets one or more of the following criteria: it establishes a precedent and  
167 results in a major policy or procedural change; it is involved in extensive litigation; it receives  
168 widespread attention from the news media; it is widely recognized for its uniqueness by  
169 specialists or authorities outside the Government; it is reviewed at length in the agency's annual  
170 report to the Congress; it constitutes a significant accumulation of documentary material and  
171 information on a particular subject; or it is selected to document agency procedures rather than  
172 capture information on the subject or the individual file.  
173
- 174 (y) *Selected information.* Examples of this type information includes scientific and  
175 technical information resulting from observations of natural events or phenomena or from  
176 controlled laboratory or field experiments and social and economic micro information such as  
177 unsummarized information collected for input into periodic and one-time studies and statistical  
178 reports.  
179

*b. Temporary records.* All records not designated permanent are considered temporary, meaning at some fixed period of time in the future they can be disposed of when that time is met. The period of time may range from several months to many years. Most Federal records are temporary.

#### **4-4. Record cutoffs.**

Record cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt of the record. Cutoffs usually happen at regular intervals to permit their disposal or transfer in complete blocks if they will be transferred outside the CFA. Normally, correspondence type records are cutoff at the end of the year (fiscal or calendar). Once a record has been cutoff, documents are no longer added to that period or year, and new folders are set up for the new documents. Case files are normally cutoff at the end of the year (fiscal or calendar) in which final action is taken.

#### **4-5. Disposition instructions.**

*a.* Disposition instructions for all Army record titles/numbers that have been approved by NARA are contained in the ARIMS RRS-A. All Army records are managed and disposed of IAW the disposition instructions listed for each record number.

*b.* There are three types of disposition instructions in ARIMS based on "time," "event," and "time-event." Example disposition and label entries are at Figure 4-1.

(1) With a "time" disposition, a record is cutoff at the end of the month for a 30-day disposition, at the end of the quarter for a 3-month disposition, semiannually for a 6-month disposition, or at the end of the year for a 1-year or more disposition, held for the specified period, and then destroyed. All such records, which accumulate during the course of the year in which the records are developed are cutoff at the end of the month, quarter, or year, and then the specified retention period begins.

(2) With an "event" disposition, the records are destroyed upon or immediately after the specified event occurs. There is no waiting period, as with the time disposition. As an example, consider the disposition instruction "Event is after all corrections have been made and processed. Keep in the CFA until event occurs, then destroy." When all corrections have been made and processed, the record can be deleted or destroyed.

(3) With a combination "time-event" disposition, a record is disposed of a certain period of time after an event takes place. For example, destroy 3 years after case is closed. This disposition requires management of the record in its active state (prior to the event occurring) and the inactive state (after the event occurs). This requires the creation of two folder labels; one for active which would be created upon creation/receipt of the record, with the second label created upon occurrence of the event. The active folder label does not show a year because the retention period does not begin until the event occurs and there would be no purpose for it. The inactive folder label would show a year because the information is now in the time phase. The occurrence of the event starts the time phase and triggers the inactive state. See figure 4-2 for example folder labels.

c. New disposition instructions for temporary long-term records should propose specific retention periods and should contain the term "destroy" (or "delete" if referring to electronic media such as magnetic media (hard disks, tapes, or diskettes) and optical media (laser disk, optical disks/cards/tapes, CDs, and DVDs)). Retention periods can be expressed in two ways:

(1) A fixed period after records in the series or system are created (for example, destroy when 10 years old).

(2) A fixed period after an event occurs (for example, destroy 10 years after revision). In some cases the retention periods may be based on the likelihood that two different future events may affect a series of records. For example an event may be "when property is sold or vacated, whichever is later" or another might be "when superseded by revised plan or when building is sold, whichever is sooner."

d. Records proposed as permanent need to include the following elements in the instructions: the word "permanent," cutoff instructions, instructions for retiring to an RHA, AEA or FRC, and instructions for transferring the records to the National Archives, including both timing and blocking. The timing should be based on the length of time after the cutoff, although it may be expressed either as "Transfer xx years after cutoff" or "Transfer when xx years old." Blocking means the chronological grouping of records consisting of one or more segments of cutoff records that belong to the same series and are dealt with as a unit for purposes of their efficient transfer (for example, transfer in 5-year blocks).

#### **4-6. Unidentified or Unscheduled Records**

a. If it cannot be determined which record number in the ARIMS RRS-A applies to a particular record or if no record numbers based on the directive the program falls under can be found, it should be brought to the attention of the requestor's records officer.

b. The records officer will determine what directive prescribes the creation, maintenance, and use of the record. If none of the record numbers under RRS-A are applicable, the records officer, in coordination with ARMDA, will establish a record number(s) based on the number of the prescribing directive and the general format in RRS-A and furnish it to the requestor for interim use pending publication in the RRS-A. The disposition instruction will read: "Retain in CFA until approved disposition instructions are published."

c. The records officer will then submit a request through records management channels to ARMDA requesting the records in question be evaluated and scheduled. The request will include information about the records (identification of prescribing directive, where the records are being created (unit, HQ, etc), the flow of the business process, volumes, proposed description, proposed disposition and if possible, an unclassified sample of the records.

#### **4-7. Records created during mobilization**

*a.* A distinction is made between retention periods in peacetime and during mobilization or the conduct of military operations. Many records that may be considered temporary during peacetime, take on a permanent retention when they are created during conflicts or wartime.

*b.* Records created by deployed units are collected monthly and sent to designated transfer locations as directed by a pre-positioned message from the Pentagon Army Operations Center. Deployed units will be provided copies of the Quick Reference Guide (QRG) outlining requirements for specific and minimum records creation, preservation, collection, and transfer. See the ARIMS website, <https://www.arims.army.mil/> for the latest QRG and Chapter 12.

#### **4-8. Recommended changes to record descriptions, record numbers and disposition instructions**

Sometimes retention periods, record descriptions, and record numbers for Army records change because of statutory, legal, financial and administrative requirements; program changes; or because prescribing directives are rescinded or superseded.

*a.* Send recommended changes to record description and disposition instructions to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 or by e-mail to ARMDA at [info@rmda.belvoir.army.mil](mailto:info@rmda.belvoir.army.mil) stating the rationale or justification for the recommended change. The proposed change can be sent on a DA 2028 or on plain paper with data arranged in DA 2028 format.

*b.* When a prescribing directive is rescinded or superseded, the proponent should notify ARMDA at the above address and provide guidance on what to do with the record numbers based on that directive. Generally, guidance is to rescind the record number if the directive is rescinded or change the numbers to reflect the new prescribing directive if the directive is superseded by another directive. For either option, the proponent's concurrence is required.

*c.* Increased retention period. When a change increases the retention period (for example, from 7 years to 10 years), the new retention period will be used for all records, both active and inactive under that record number, no matter when the records were created or where they are maintained (CFA, RHA, FRC, or AEA).

*d.* Decreased retention period. When a change decreases the retention period (for example, from 8 years to 7) or changes from a permanent to a temporary period (for example, from permanent to 15 years), the new retention period will be used for all **current** year records except that existing permanent records will remain as permanent. Efficiency and cost effectiveness should be considered when applying a decreased retention period to **inactive records** (prior years). For example, if the volume of records involved would require a considerable amount of time and effort to sort through and dispose of and storage space is not an issue, the records should be kept for the longer (former) retention period. If space is an issue or record volume is low, inactive records will be disposed of using the shorter (new) retention period.



---

|   |      |
|---|------|
| K 25-1qq Negative Register                          | (05) |
| Keep in CFA until record is 3 yrs old, then destroy |      |

Time disposition

|  |      |
|--|------|
| KEN 25-30zz Officer copier files                                       | (05) |
| Keep until NLN after disposal of equipment, NTE 6 years, then destroy. |      |

Event disposition

---

Figure 4-1. Sample time and event dispositions

---

|   |
|---|
| K. 27-1c Surety powers of attorney      |
| PIF on termination of power of attorney |

Active label

|   |
|---|
| K. 27-1c Surety powers of attorney (05)                       |
| Destroy in CFA 5 years after termination of power of attorney |

Inactive label

---

Figure 4-2. Sample time-event dispositions

## Chapter 5

### Scheduling Records

#### 5-1. Scheduling

The ARMDA is charged with the responsibility of scheduling records on behalf of the Army proponents. All records must have an approved disposition schedule from NARA. The schedule provides mandatory instructions for what to do with records when they are no longer needed for current Government business. This approval is obtained from NARA using the Standard Form (SF) 115 - Request for Records Disposition Authority, which is initiated within the Army by ARMDA.

#### 5-2. Scheduling process

*a.* An Army command/individual identifies unscheduled records (records that cannot be filed under one of the ARIMS record numbers) and requests assistance through his/her servicing records officer from ARMDA in establishing a new record number.

*b.* ARMDA (working with the owner of the records and the proponent of the prescribing directive that caused these records to be created) initiates action to get the records scheduled. This involves review of the business process, determining how the records are used; the records location; legal, financial, and other rights involved; volumes; how long the records must be kept to meet business needs, statutory or regulatory needs; and proposed description and disposition, etc.

*c.* After all issues have been resolved between ARMDA and the owner of the records and the proponent of the prescribing directive, and the proposed description and disposition have been developed, an SF 115 is drafted. The draft SF 115 is staffed with the proponent who in turn staffs it internally with their servicing Staff Judge Advocate to ensure that the proposed retention period meets all legal requirements.

*d.* When all coordination has been finalized, the SF 115 is prepared in final and sent to NARA.

*e.* Upon receipt, NARA date stamps the SF 115, performs an initial review to ensure all required information is included, registers it in its tracking system, and acknowledges receipt to ARMDA.

*f.* The length of NARA's appraisal process depends on the type of record being appraised. The appraisal process requires an understanding of the agency's functions, business process, documentation practices, and record and information policies, procedures, and systems. The NARA may need to consult with agency officials and either see samples of the records or examine them at the agency or an FRC. The appraisal archivist prepares a draft appraisal report upon completion of the appraisal, and reviews and concurrences are obtained from internal stakeholders at NARA.

g. All requests for disposal of records must by law (44 U.S.C 3303a(a)) be published in the Federal Register. The publication of these notices allows interested persons to submit written comments on the records to NARA before disposal is approved or else re-approved with a shorter retention period. Approximately 20 days are needed by NARA to prepare/route the Federal Register notice to be signed and get it published in the Federal Register. Another 45 days are allowed for interested persons to request a copy of the schedule and appraisal report, 30 days for requester to submit comments on the schedule/appraisal and approximately 15 days for NARA to review comments.

h. After the Federal Register process is completed, the SF 115 is assembled and submitted for approval by the Archivist of the United States.

i. When the disposition is approved, copies are made and sent to ARMDA.

j. Upon receipt by ARMDA, the applicable record numbers on the ARIMS retention tables at the RRS-A module are updated to reflect the approved retention periods. This normally occurs within several days of receipt from NARA.

### **5-3. General Records Schedules.**

a. General Records Schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary (disposable) records common to several or all agencies of the Federal Government. When establishing records number instructions for the Army, the ARMDA first reviews the GRS to determine if the unscheduled records can be covered by an existing GRS item. See also paragraph 5-3b below.

(1) Use of the GRS is mandatory.

(2) It does not cover all records of an agency.

(3) It is not used to schedule permanent records.

(4) It is not used to schedule records dealing with the military pay and military personnel.

(5) GRS items cover only record copies.

b. Implementation of the disposition instructions in the GRS do not require further approval from NARA, with the exception that most records created before 1 January 1921 must first be offered to NARA for appraisal. However, Army organizations may not implement a GRS instruction that is not shown in the ARIMS RRS-A as authorization for disposal of Army records.

c. If the Army wishes to apply a different retention period for any series of records included in the GRS, an SF 115 must be submitted to NARA by ARMDA on behalf of the proponent, providing justification for the requested deviation.

92 **5-4. Web records.**

93 There are two options available for scheduling web records.

94  
95 *a. Option One - Single Item Schedule.* This option would be to schedule the web content  
96 records along with the related records that pertain to site management and operations. This  
97 option would be appropriate if all of the records related to the site warrant the same retention  
98 period in order to meet business needs and mitigate risks.

99  
100 *b. Option Two - Multiple Item Schedule.* Under this option, the web content records and the  
101 web site management and operations records would be scheduled separately. This option would  
102 be appropriate if business needs and the mitigation of risk mandate different retention periods for  
103 the site content records and the management and operations records.

## **Chapter 6**

### **The Army Records Information Management System (ARIMS) Website**

#### **6-1. General**

*a.* ARIMS technology is available to support the redesign of the Army recordkeeping methodology. ARIMS provides a suite of web-based tools to simplify and improve the management of the Army's records. Some of these tools allow for the identification of what records are to be created, how long the records should be kept, what disposition instruction is appropriate for a particular record, and the ability to produce on-demand printing of folder labels. Other tools allow the sending of e-records to ARIMS AEA via e-mail where the record is the e-mail or an attachment to the e-mail. This capability is extended to include the ability to send records from within typical office automation applications (MS office products, spreadsheets, etc). Records sent to the ARIMS AEA are stored in read-only mode and can be accessed via the ARIMS Master Index. The Master Index also contains information on hard-copy records physically stored in an RHA. Operators of RHA facilities are provided the necessary tools to index hard-copy records and manage their physical location within the RHA.

*b.* ARIMS is managed and operated by the ARMDA and is available for use by Records Administrators, Records Managers, RHA Managers, and Records Coordinators. To ensure flexibility and reduce administrative workloads, ARIMS is also available to civilian and military action officers.

*c.* To use most of the records management features of ARIMS, a user must be registered in ARIMS. Users register with ARIMS using their AKO credentials (username and password). Non-registered users can access some ARIMS features, such as the RRS-A and a number of links located on the ARIMS homepage.

*d.* This chapter contains the latest information on the ARIMS software application at the time of publication. Since the application is continually improved and upgraded, see the ARIMS website for the most up to date information and user guide.

#### **6-2. System Components**

Basic components/modules consist of Home, RRS-A, FOIA Request, Help/Downloads, and Login/Registration. Advanced tools include: Records Management Assistance (RM-Assist) , Records Input Processing System (RIPS), Master Index, System Administration and Help/Downloads.

#### **6-3. System Requirements**

Minimum requirements for the basic ARIMS components are: Microsoft Internet Explorer 5.0 and Netscape Navigator 4.6. The advanced tools require Microsoft Internet explorer 5.5 or higher to function properly.

#### **6-4. Security**

DRAFT – NOT FOR IMPLEMENTATION

ARIMS is designed to preserve the security and access to official records to prevent unauthorized access to sensitive or Privacy Act information. Security is determined by the user's role in ARIMS. Each user in ARIMS is assigned one of six possible roles. The action officer level is automatically assigned at the time one registers in ARIMS. Any other level requires that the user's records manager/administrator notify ARIMS with the designated user level.

*a. Action Officer (AO).* An individual who creates and/or receives official records on behalf of the Army. The action officer:

- (1) Has access to the RRS-A.
- (2) Can create, modify and use an ORL for each office symbol within his/her organization.
- (3) Can submit records to a designated records holding facility.
- (4) Can search for and request records via the ARIMS Master Index.
- (5) Can only access those electronic records he/she transferred.

*b. Records Coordinator (RC).* A records coordinator serves one or more offices/units and usually acts as liaison between the office/unit and the servicing records manager and/or RHA manager. The records coordinator:

- (1) Prepares ORLs.
- (2) Coordinates the transfer of long-term/permanent records to the AEA/RHA.
- (3) Resolves indexing problems.
- (4) Serves as POC for access and release of the office/unit records stored in the system for which he/she is responsible.

*c. Records Manager (RM).* A records manager is appointed in writing and serves at the ARSTAF, subordinate command level, or on the installation garrison staff with command-wide or garrison-wide records management responsibilities. The records manager:

- (1) Can create/approve ORLs on behalf of a unit or organization it supports, capture and index AO folder information for entry into the master index, define record locations within a holding facility, approve/deny record requests submitted to the records manager and track records that have been transmitted from a holding facility.
- (2) Can view all records of units or organizations he/she supports and receives and processes all requests for hardcopy official records and/or access to electronic records.
- (3) Is responsible for the transfer of permanent records for his/her supporting units from ARIMS to NARA.

*d. Records Holding Area Manager (RHAM).* An RHAM manages and directs the operations of an RHA facility. An RHAM may also perform the same duties and have the same access privileges as an RM if he/she is approved by the MACOM RA.

*e. Records Administrator (RA).* The records administrator is appointed in writing and serves on the MACOM level with command-wide records management responsibility and issues instructions and guidance to the installation/unit records managers within his/her area of responsibility. The records administrator:

(1) Has the ability to create, modify, and approve ORLS for all units within the MACOM/agency he/she supports.

(2) Can, when necessary, process all requests for hardcopy official records and/or access to electronic records under his/her responsible area.

(3) Can view all records for every unit within the MACOM/agency.

*f. System Administrator.* A system administrator provides user account support, updating of reference data used for ARIMS interface, and other miscellaneous activities to maintain ARIMS. This level of access is reserved for ARMDA/system contractors only.

## **6-5. ARIMS Components/Modules**

Detailed information about how the modules work is not contained in this pamphlet because as with all software, it is subject to frequent changes and updates. See current detailed instructions in the User's Guide at the ARIMS website.

## **6-6. Introduction.**

The ARIMS home page provides users with introductory information about ARIMS and the public-only modules. The home page is available from all modules and can be accessed by clicking on the "home" tab at the top left side of the screen.

## **6-7. Records Retention Schedule - Army (RRS-A)**

The RRS-A module is the official site for the Army's record retention schedules (record numbers). All have been approved by NARA with the exception of those indicated by a "TBD" in the Disposition Authority column, which are pending NARA approval.

*a.* RRS-A can be accessed by anyone accessing the ARIMS website at:  
<https://www.arims.army.mil>.

*b.* Information can be obtained on each of the record number instructions by entering a keyword search; by typing in the number of the prescribing directive (Army regulation, DA pamphlet, etc); by selecting the type of record, whether event or nonevent, permanent or non-permanent, or transfer or keep; or the user can browse by record (functional) category. See Figure 6-1 for a screen shot of the RRS-A.



c. For the keyword search, it should be noted that the exact spelling of the word as it appears in the RRS-A must be entered in order to get a hit. The keyword search looks at the title as well as other text within the record instruction. Caution: The lack of a fuzzy search capability for this feature may result in the false indication that there is no such record series. This issue is being addressed for future software versions.

d. Typing in the number for the prescribing directive will bring up all records based on that directive. For example, typing in 25-400-2 will list all record numbers based on AR 25-400-2.

e. When a record category is selected under "Browse by record category," all the record numbers under that category will be displayed. A user might want to select this way of searching if the functional category is known, but not the prescribing directive or record number.

f. Once the search has been completed and the search results are displayed, a user can perform and search within the results, obtain additional information about the individual search results or change the order in which they are displayed. To search within a search, simply type an additional key word and select go.

g. To obtain additional information about any of the record number instructions on the search results screen, click on the highlighted area under the "Rec. Category" column and detailed information about that instruction will be displayed. To view the detailed information about the next item on the search list, simply click on the "next" button above the title bar.

h. To sort any of the columns, click on the header title in the title bar. For example, to sort by record number, click on "Rec. Num." in the title bar.

i. ARIMS offers an advanced search option for when specific information about the subject being searched for is known. For example, a user might know the privacy act number. This will result in only the records meeting the user's criteria being displayed.

j. Users may print the search results list or the detailed instruction screens by clicking on the print link at the top of the page.

## **6-8. Registration**

Users enter their AKO username and password when first registering with ARIMS by selecting the "New User to ARIMS?" link or the "LOGIN/REGISTRATION" tab on the homepage. The AKO provides ARIMS with much of the users' profile information, including what category of user they are and to which unit/organization they are officially assigned. The AKO also notifies ARIMS when a user transfers to another unit within or separates from the Army.

## **6-9. RM-Assist**

The RM-Assist sub-system consists of two major components, RRS-A and the ORL. These two modules are linked together because the ORL pulls data from the record schedules to populate the ORL. The RRS-A data is also displayed to the user to assist in preparing the ORL.

183       a. The ORL is the Office Record List. It contains all the record number instructions that an  
184 office uses. See Figure 6-2 for a sample ORL.

185  
186       b. Only one ORL may be created per office symbol, per year.

187  
188       c. The ORL may be created by unit personnel, records coordinators, records managers, or  
189 records administrators. Use of the ORL is mandatory. The file and barcode labeling feature  
190 linked to the ORL cannot be used without first creating an ORL.

191  
192       d. After the ORL is created, the approval authority is notified that it exists and it remains in a  
193 proposed status until it has been reviewed and approved by the responsible individual. The  
194 approval authority will have a note displayed on their computer screen that an ORL awaits  
195 approval. Each record instruction on the list will show a "P" in the status block on the screen.

196  
197       e. While in a proposed status, record instructions may be added or deleted; however, once the  
198 ORL has been approved, instructions cannot be deleted since they may be already linked to  
199 records stored in the AEA or an RHA. This also applies to an ORL. If there is a valid reason to  
200 delete an instruction or an ORL, a request must be submitted through or by the records  
201 management officer to the ARIMS technical support office at *ARMDA IT HELP DESK* to have it  
202 removed. Instructions may be added as needed using the update ORL feature.

203  
204       f. Once created, the ORL must be approved before use. If an action officer or unit creates the  
205 ORL, the organization records manager must approve it. The status column will show an "A" for  
206 each record instruction approved.

207  
208       g. To print the ORL, click the "Print ORL" button. To print the file and barcode labels, click  
209 on "Print Label". The barcode label and the file label will both be printed at the same time for T  
210 records. A barcode label is not printed for K records. The barcode label is a unique number  
211 used to track the folder through its life cycle. It can help ARIMS determine where records were  
212 created, when they were created (within a particular calendar year), what type of record is being  
213 submitted, when it was submitted, etc. Both labels go on the folder in clear view. Labels are  
214 formatted for Avery 5161 or equivalent labels. The RIPS uses the barcodes to streamline the  
215 hardcopy indexing process. See figure 6-3 for an example folder depicting the labels.

216  
217       h. ORLs may be created for the following year on or about the end of December of the  
218 current year by copying the existing ORL using the *Copy ORL Button*. User will then be  
219 prompted to change the ORL name (if desired) and select the new ORL year. Once the correct  
220 year is selected, click on *Save*. After the new ORL has been created and saved, it will return to a  
221 *Proposed* status and will need to be approved by the user's Records Management official.  
222 The current ORL will remain active until midnight, 31 December. Both ORLs as well as any  
223 future ones, will be displayed under the office symbol, denoted by the appropriate year, and a  
224 user will still be able to view and print prior years, but they will no longer be active and user will  
225 no longer be able to store records against them. The retention period for fiscal year records  
226 saved to the ORL will be calculated as of 1 October each year.

i. If an organization needs to submit records created in a year whose ORL is no longer active, ARIMS provides the capability to upload and index records as a *back file* operation.

## 6-10. RIPS

a. The RIPS module serves as the entry point for all hardcopy folders and an alternate entry point to using the ECS for all electronic records being tracked within ARIMS. RIPS is divided into the following sub-modules:

(1) *Hardcopy Records*. This sub-module is used to index and manage hardcopy records in the RHAs. Although this module can be accessed by records managers and records administrators, its purpose is to assist RHA managers to index hardcopy records into ARIMS and manage them in their warehouses. This module supports backfile indexing of hardcopy records created since 2003.

(2) *Electronic Records*. This sub-module is used to index electronic records and submit them to the AEA. This module supports backfile indexing of electronic records created since 2003. This module can be used by any registered user within ARIMS including action officers.

(3) *Collections*. This sub-module allows the creation of special collections of records whether hardcopy or electronic. A special collection is a group of records that has a historical significance to the Army, such as Operation Desert Storm. This module can be used by any registered user within ARIMS; however, only ARMDA has the authority to add to, or modify, the special collection list.

b. RIPS processing for hardcopy records includes four main phases:

(1) *Process batch phase*. In this phase, unit hardcopy records are received by records managers and the barcoded folders are scanned.

(2) *Action officer folder phase*. In this phase the record folders are added to the system and additional information about the folder is added by the RHA manager.

(3) *Create box phase*. In this phase unique barcoded labels are generated for the storage containers (boxes) used for placement in a designated record storage area. See table 6-1 for a description of container types and their uses, table 6-2 for a guide to storage capacities, table 6-3 for conversion factors from linear feet to cubic feet and see Figure 6-4 for sample showing where to place labels on the box.

**Table 6-1. Container Types and Uses.**

|                     |   |
|---------------------|---|
| Standard            | Standard-size record box for legal or letter-size files (15"x12"x10").  |
| Half Size           | Half-size special purpose box (15"x10"x5"). Sometimes used for cassettes, cartridges, etc.                                |
| Small and Large Tab | Used in open shelf filing system within records center.   |
| Bundles             | Used for large format records, aerial photos, and similar type records which are bound by nylon strapping or other means. |
| Flat O/S            | Flat oversize storage two-piece box for documents that cannot be rolled or folded.  |
| Transfile           | A 24x12x10 corrugated box that will hold contents of an entire file drawer.   |

|           |   |
|-----------|---|
| Volumes   | Ledgers, bookings and similar type records.   |
| Hollinger | Gray acid-free fiberboard box available in various sizes to accommodate different types of records.                       |
| Rolls     | Small or large tube cartons used for rolled maps, blueprints, plans, and drawings or loose rolls of these type documents. |
| Other     | Other size containers used for documents that are not of normal size/height/width such as large magnetic tape boxes.      |

**Table 6-2. Storage Capacities for Hardcopy Records**

| SIZE                               | CUBIC FEET | DOCUMENTS |
|------------------------------------|------------|-----------|
| 1 Letter-size file drawer          | 1 1/2      | 4,500     |
| 2-Drawer letter-size file cabinet  | 3          | 9,000     |
| 3- Drawer letter-size file cabinet | 4 1/2      | 13,500    |
| 4-Drawer letter-size file cabinet  | 6          | 18,000    |
| 5-Drawer letter-size file cabinet  | 7 1/2      | 22,500    |
| 1 legal-size file drawer           | 2          | 6,000     |
| 2-Drawer legal-size file cabinet   | 4          | 12,000    |
| 3-Drawer legal-size file cabinet   | 6          | 18,000    |
| 4-Drawer legal-size file cabinet   | 8          | 24,000    |
| 5-Drawer legal-size file cabinet   | 10         | 30,000    |
| 1 full-size box (12"x10"x15")      | 1          | 3,000     |
| 2 1/2-size boxes (tab cards)       | 1          | 10,000    |
| 5 1/4-size boxes (tab cards)       | 1          | 10,000    |
| 1 1/4-size box (tab cards)         | 1/5        | 2,000     |

**Table 6-3. Conversion factors from linear feet to cubic feet**

| Type                 | Linear Feet | Cubic Feet |
|----------------------|-------------|------------|
| Letter size          | 1.25        | 1          |
| Legal size           | 1.0         | 1          |
| Ledger size          | .6          | 1          |
| Document size        | 3.7         | 1          |
| Tab cards and checks | 6.0         | 1          |
| 5 x 8 cards          | 3.6         | 1          |
| 4 x 6 cards          | 6.0         | 1          |
| 3 x 5 cards          | 10.0        | 1          |

(4) *Folder assignment phase.* In this phase the indexed folders are placed in boxes containing either the same or different dispositions.

c. RIPS processing for electronic records involves two main steps:

(1) *Unit selection.* This step gives the user the ability to search and select the appropriate unit that owns the record being submitted or create a new one if that unit is not listed.

(2) *Record Indexing*. This step allows the user to specify the location of the electronic record being submitted and also apply the appropriate record number to it.

d. RIPS processing for Special Collections involves three main options:

(1) *Create/edit collection*. This option allows creation/editing of Special Collections. Creation of Special Collection is restricted to an authorized user.

(2) *Process existing collection* - Under this option existing Special Collections can be modified and deleted.

(3) *View collection cart*. This option allows users to generate a report showing a list of collections and the number of records associated with that collection.

## **6-11. Master Index**

The master index contains information about all the hardcopy records that have been retired to the Army record holding facilities as well as information on electronic records that have been transferred to the AEA from various Army agencies/installations worldwide.

a. It provides authorized ARIMS users with search capabilities, allowing immediate retrieval of electronic records from the AEA and the option for requesting hardcopy records from the record holding facilities. It should be noted, that you can only retrieve records that you or your office retired. You may, however, make a request for records that are not yours and upon approval by the owner, they will be made available.

b. The master index makes access to retired Army records easier by supporting the following capabilities:

(1) *Search using query by example*. This provides authorized users the ability to search for official Army records and view or retrieve them from an RHA.

(2) *Online standard reports*. This capability provides authorized users the ability to create online printable reports such as ORL Status Reports, Records Location Reports, and Container/RHA Box Inventory Lists.

(3) *Records destruction notification*. This capability provides records officials and record owners information on what records are eligible for destruction and the scheduled destruction date, as well as reports of records that were destroyed.

## **6-12. ECS**

a. ECS enables ARIMS users to assign records retention instructions to electronic records using MS Outlook - making it easy to transfer them as ordinary e-mail or e-mail attachments. In addition, ECS integrates MS Office applications with ARIMS functionality.

b. ECS communicates with the ARIMS server through a web service to retrieve both the calendar year (CY) and fiscal year (FY) records instructions from a user's current year ORL.

**6-14. Backfile indexing**

Backfile indexing is used to input hardcopy and electronic records from 2003 to the present FY or CY into ARIMS.

||

## RECORDS RETENTION SCHEDULE - ARMY (RRS-A) SEARCH

New!! [View RRSA Training](#)

Records Retention Schedule - Army (RRS-A) allows all users to search the Army Records Retention Schedules and is a component of the Army Records Information Management System (ARIMS). The Records Retention Schedules reflect all National Archives and Records Administration approved retention and disposition information for Army records.

### Related Links

[RRS-A Advanced Search](#)

[RRS-A View Updates](#)

[Disposition Codes](#)

▼ Search by Keyword

OR

▼ Search By Army Regulation or other prescribing directive. Enter numbers only, do not enter AR, PAM, etc.

▼ Select Type of Record

☐ EVENT ☐ NON EVENT ☒ ALL

☐ PERMANENT ☐ NON PERMANENT ☒ ALL

☐ TRANSFER ☐ KEEP ☒ ALL

▼ Browse by Record Category

Please Select a record category

▼

Order by

☒ Number

☐ Description

Submit Search

Reset Form

||

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[Records Management and Declassification Agency](#) | [The Adjutant General](#) | [U.S. Army Human Resources Command](#) | [Army Home Page](#)

[Online Help Desk](#) | [Privacy & Security Notice](#) | [About ARIMS](#) | [DoD Web Policy](#)

Figure 6-1. Sample screen shot of the RRS-A

|                |                                       |               |                      |
|----------------|---------------------------------------|---------------|----------------------|
| MACOM:         | Headquarters - Department of the Army | ORL NAME:     | SAMPLE ORL           |
| RHA:           | RMDA (HQDA)                           | DATE CREATED: | 9/21/2005 1:16:36 PM |
| UNIT:          | RECORDS MGT & DECLAS AGENCY           | CREATED BY:   | Sylvia Johnson       |
| OFFICE SYMBOL: | AHRC-PDD-SAM                          |               |                      |

| REC. CATEGORY<br>STAT                | REC. TITLE   | REC.<br>TYPE | PERM | DISP. AUTH    | PRIV. ACT<br>NO | REC.<br>NUM. | PRES<br>DIR | STAT. |
|--------------------------------------|--|--------------|------|---------------|-----------------|--------------|-------------|-------|
| ADMINISTRATION<br>A                  | Gen administration<br>correspondence files   | K            | No   | N1-AU-02-22   | NA              | 1            | 1           | A     |
| ADMINISTRATION                       | Budget execution files   | T            | No   | GRS 7, Item 3 | NA              | 1-1r         | 1           | A     |
| HOUSEKEEPING<br>FILES                | Reference publications   | K            | No   | NC-AU-75-19   | NA              | 1jj          |             | A     |
| HOUSEKEEPING                         | Office property records  | K            | No   | NN-166-204    | NA              | 1q           |             | A     |
| INFORMATION<br>MANAGEMENT            | Decentralized instruction<br>background files - HQDA,<br>MACOM, major sub-<br>command HQ and elements<br>in a combat zone or desig-<br>nated as a combat support<br>element in a combat zone | T            | Yes  | NC1-AU-82-12  | NA              | 25-30q1      | 25-30       | A     |
| INFORMATION<br>MANAGEMENT            | General information<br>management correspondence<br>files  | K            | No   | N1-AU-02-22   | NA              | 25           | 25          | A     |
| MANPOWER AND<br>EQUIPMENT<br>CONTROL | Manpower surveys - surveys<br>and supporting documen-<br>tation, except schedules  | K            | No   | NC-AU-75-19   | NA              | 570-4a2      | 570-4       | A     |

Figure 6-2. Sample ORL



---


|  |  |
|--|--|
| KN 25-1eee Automation Inventory Files (05)   |  |
| Keep until NLN, NTE 6 Yr, then destroy.  |  |
| <br>5 4 0 3 4 8 1 2 1 1 0 3 |  |

Figure 6-3. Sample folder showing file and barcode labels

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## **Chapter 7**

### **Records Transfer and Retirement**

#### **7-1. General.**

Only records designated as T records are transferred out of the CFA. K records are managed and destroyed within the CFA. T records are retired to an RHA, the AEA or an FRC when they are no longer needed for day-to-day operations within the office; there is no set time they must be retained within the CFA.

#### **7-2. When to retire**

*a.* Generally, most records are not needed for reference purposes past two years, so a general guideline would be to retire hardcopy T records after that time; however, if it is known specific records will not be needed in the CFA that long, they should be transferred earlier. If the record is needed for conducting business the entire retention period, it may be disposed of in the CFA; money should not be expended to transfer T records eligible for disposal.

*b.* Electronic T records should be transferred as soon as all action on them is complete. Action is considered to be complete when all issues/decisions have been made and no further action is required. A copy can be kept within the CFA for reference purposes; however, the reference copy should be deleted as soon as it is no longer needed for reference and in no case should it be kept longer than the record copy.

*c.* If the electronic record copy needs to be kept on site past the time action has been completed, a request for exception will be forwarded to the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 and will include a point of contact (name, address, and telephone number) for coordinating and completing the information that will be entered to the master index of records in ARIMS.

#### **7-3. Hardcopy records.**

Offices will provide hardcopy T records to activity records managers upon request. Installation records managers will periodically visit tenant units and installation staff organizations while in garrison to collect these records; deployed units will transmit these records monthly and at the end of the deployment.

*a.* Temporary T records with retention periods of 7 years or less will be retired to the RHA when no longer needed for business and will be maintained and disposed of in the RHA. For example, for records with a 6-year, 3-month retention, and using 2 years as a general transfer guideline, the records would be transferred at the end of the 2 years, held in the RHA until the end of the retention period (4 years, 3 months), then be destroyed.

*b.* Temporary T records with retention periods longer than 7 years (but not permanent) will be retired to the RHA when no longer needed for conducting business and will be held in the RHA until they are 7 years old and then retired to an FRC where they will be managed and disposed of at the end of their life cycle by the FRC. For example, for records with a 10-year retention, and using 2 years as a general transfer guideline, the records would be transferred at

the end of the 2 years, held in the RHA until they are 7 years old (5 years), then be transferred to the FRC where they would be disposed of at the end of the 10 years.

c. Permanent T records will be retired to the RHA when no longer needed for conducting business and will be held for 1 year and then transferred to an FRC where they will be managed until they are transferred to the National Archives according to the specific time stated in the disposition instructions.

#### **7-4. Electronic records**

Electronic T records are transferred to the ARIMS AEA by originating offices or units as soon as they are complete. This is accomplished using the ECS feature in ARIMS. The ECS may be downloaded directly from ARIMS and will install in all Microsoft Office applications. In Outlook, ECS will prompt users sending e-mail messages with the option to send a copy of the message to the AEA. Outlook ECS also allows for the easy transfer of records as attachments to an ordinary e-mail. Users sending records to the AEA will receive a message acknowledging the receipt of those records usually within 24 hours of delivery to the AEA. Once the ECS is installed, records are sent using the following procedures. The following is the latest information in the ECS application at the time of publication. Since the application is continually improved and upgraded, see the ARIMS website for the most up-to-date information and User's Guide.

a. *E-Mail messages.* After the e-mail record is complete and it is ready for distribution, the user clicks on the *send* button. If the ECS feature is installed, a dialog box will open allowing the user to select *archive* if they want to send the document to records storage and *do not archive* if they do not want to send the document to records storage. If a document needs to be archived, the user can also select a disposition instruction to categorize the record(s) from a drop down menu. This menu is made up of the T record numbers from the user's ORL. Selecting the appropriate disposition instruction activates the transfer of the record to the AEA. The user will receive a message acknowledging receipt. The *archive* button must be used if the document is a record.

#### *b. Other electronic records.*

(1) Electronic records created by Microsoft Office (MS-Office) applications such as Word, Excel, Access, and Powerpoint are sent to the AEA with the same ECS applet program. To submit a record from one of the applications, the user would select the *Send to Army Electronic Archive* option in the FILE drop down menu. A dialog box will open allowing the user to select a disposition instruction to categorize the record. The list of instructions is made up of the T record numbers from the user's ORL. Selecting the appropriate disposition instruction activates the transfer of the record to the AEA.

(2) Electronic records created from applications other than Microsoft Office can be sent to the AEA in two ways. As an attachment to an Outlook e-mail, or with proper access privileges, by using the Backfile Indexing function (located under the RIPS module). Examples of these types of applications are Adobe Acrobat records (file extension .pdf), image records (file extensions .gif, .jpeg, .tif, etc), video records (file extension .mov, etc) sound records (file extension .wav, etc), etc. If sending as an attachment to an Outlook e-mail that has no intended

addressee, the user may “send” the e-mail to himself/herself so that the ECS dialog box will open. In this case, Outlook is merely being used as a transfer vehicle for the attached records.

(3) Electronic T records that are stored in or generated by an information system or other automated source or that are stored or managed by DOD 5015.2-STD certified products, can be sent to the AEA using middleware software. Requests for middleware software interface specifications to transfer those records should be sent to the ARMDA and include a point of contact (name, address, and telephone number) for coordinating any technical matters.

#### **7-5. Preparing hardcopy records for transfer or retirement.**

*a.* Organization and installation records managers or designated coordinators will organize, pack, receipt, and send records to the servicing RHAs on a periodic basis. When an office has records to retire that are not part of a scheduled pickup, the organization's records official should be notified.

*b.* If records officials are not available to an organization to pack and transfer the records, the office that created the records is responsible for doing so.

*c.* Records will be retired to the RHA using the SF 135 - Records Transmittal and Receipt or ARIMS RIPS module.

(1) The SF 135 is the transmittal and tracking document for records sent out of the office files area. It accompanies records until they are destroyed or sent to the National Archives. The SF 135 may be used to send records that will be destroyed in the RHA. It must be used for records that will be transferred to an FRC. The SF 135 can serve as a receiving document, as a receipt returned to the creating office, as an inventory tool showing where the records are located in the RHA if an automated tool is not used, as an input source for the master index, and to retire the records to an FRC. Copies will be retained by all offices concerned during the life cycle of the pertinent records.

(2) ARIMS RIPS. See Chapter 6 for information on using ARIMS RIPS for creating the records list and receipt for retired records.

*d.* Prior to packing the records, the files should be reviewed and purged of unnecessary documents such as duplicates and nonrecords.

*e.* Do not transfer or retire records that are subject to the Privacy Act unless they are covered by a system notice in DA Pam 25-51.

(1) This regulation identifies the Privacy Act system notice number applicable to record numbers for records requiring protection. Cite the Privacy Act system notice number on the SF 135.

(2) If the Privacy Act system notice number associated with an ARIMS record number is incorrect, or newly created recordkeeping requirements lack Privacy Act protection, promptly notify ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860.

*f.* The originating office or unit remains the legal custodian of the records even when they are retired to an FRC and will provide input or review of the SF 135s when requested to enable retrieval of these records if needed at a future date. For example, if the originating office receives a FOIA request for records that were transferred or retired, that office is responsible for locating the records and retrieving them for review.

*g.* Agency or command records managers or designated coordinators will consolidate records transfers from the different offices within their organizations. Installation records managers will consolidate records transfers from units and installation staff organizations while in garrison. Records transfers from deployed units will be handled as expeditiously as possible after their receipt, monthly and at the end of the deployment.

*h.* The maximum length of time that permanent (TP and TEP) Army records can be legally kept in Army custody is 30 years. If permanent records are needed on site for longer than 30 years, a request for exception is forwarded to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860.

*i.* Permanent records are offered to the National Archives according to the time period specified in the disposition instructions for the specific records. This is normally when hardcopy records are 20 to 25 years old, with a much shorter timeframe for electronic records. Permanent records may only be offered to the National Archives by ARMDA, as the designated agency for the OAASA. (See AR 25-1.) Permanent records are transferred to the National Archives using the SF 258 - Agreement to Transfer Records to the National Archives of the United States. The SF 258 is prepared by the FRC or RHA holding the records and is then sent to ARMDA for signature and forwarding to the National Archives.

*j.* Do not retire records for which the disposition is dependent on some future event occurring. The holding facility would have no way of knowing when to dispose of these records.

*k.* Generally, unscheduled records may not be retired; however, an exception has been made in those cases where a large volume of records are being created and there is simply not enough room to maintain the files in the office space or the records are of a complex nature and the scheduling process is taking an unduly long time. However, NARA (NWML) must be notified in writing prior to the transfer. Offices having unscheduled records to transfer to an FRC will first notify ARMDA (JDRP-RDR-R, 7701 Telegraph Road, Alexandria, VA 22315-3860, who will coordinate the action with NARA. (See figures 7-1, for a sample SF 135 transferring unscheduled records.

*l.* Do not include more than one permanent records series on the SF 135. Each series should be transferred as a separate accession.

## **7-6. Classified records**

*a.* Agency security managers must be consulted before transferring classified records and actions initiated, as specified in AR 380-5, paragraph 6-27. RHAs should only accept classified documents that are properly marked. Classified information will not be disclosed on the SF 135; only the unclassified title may be used to identify the records. Agency security managers should be consulted for specific information.

*b.* TOP SECRET records will not be retired until downgraded to a lower classification, except those in overseas commands and those which are to be deposited with the Defense Investigative Service and in the US Army Intelligence and Security Command (INSCOM) records center. (See 7-6c and d below.) When TOP SECRET records must be retired, transmission and accountability will be in accordance with AR 380-5 and other applicable security management instructions.

*c.* Instructions for listing, receipting, and packing material with SECRET and CONFIDENTIAL classifications are the same as those for unclassified, except that unclassified titles will be used on the SF 135 to list the records. In addition, other receipts may be needed such as DA Form 3964 (Classified Document Accountability Record). Wrapping and shipping material with these classifications will be in accordance with AR 380-5, chapter 8, AR 25-400-2 and applicable sections of this DA Pam.

*d.* Special intelligence documents, including TOP SECRET, will be retired only to the INSCOM records center. (See Table 10-1 for the mailing address.)

*e.* Regardless of classification, Restricted Data and Formerly Restricted Data will not be intermingled with other information when being transferred to an RHA or FRC.

#### **7-7. FOUO records**

Records with the FOUO protective marking will be packed as prescribed in this chapter for unclassified records.

#### **7-8. Transferring records to other organizations**

The procedures for packing records and preparing and distributing records transmittal lists when transferring records to organizations other than RHAs or FRCs are the same as those described above.

#### **7-9. Preparing the SF 135.**

*a.* An electronic copy of the SF 135 is located in the ARIMS Master Index module which can be used to transfer records to individuals requesting them; however, this feature is not yet available for use when retiring records to the RHA or FRC. NARA provides an electronic copy at [www.archives.gov/frc/forms/sf-135-intro.html](http://www.archives.gov/frc/forms/sf-135-intro.html) which can be used for transferring records.

*b.* The SF 135 will describe records in enough detail to permit future location of the records contained in the shipment.

c. A separate SF 135 should be created for each records shipment.

d. Requirements when transferring records to an FRC:

(1) Accessions (transfers) must be at least one records box; unboxed folders are not accepted under any circumstances.

(2) Accessions may contain only one records series (record number) per accession. Exception: If the accession consists of only one box, multiple series can be placed in the same box; however, they must be all permanent or all temporary - the two types of dispositions cannot be placed in the same box. When the box does consist of a mixed series, ensure that each record number is listed on the SF 135 with complete dates and disposition authority.

(3) While multiple series in one accession are not normally accepted, multiple years of records are accepted (for example, 1993, 1994, 1995 records under the same record number).

(4) SF 135s for all permanent records must have complete and accurate box and folder listings before the SF 135 is approved. These listings may be placed on plain bond paper. See Figure 7-2.

(5) Any national security classification pertaining to the records must be noted on the SF 135. Do not mix different levels of classification if at all possible. Do not include any classified information on the SF 135 or box list itself. Remember that while the records are not public information, the SF 135 and any box and folder lists are public information. Also, be sensitive to any personal information that might be on the box list. A folder list of individual's names, for instance, should not include social security numbers, even if they are on the folders themselves.

(6) Do not substantially change the contents of the records accession after submitting the SF 135 to the FRC for approval. Do not add or subtract the number of boxes, change the record number(s), or dates of records. For permanent records, any change at all in the contents requires a change in the box and folder list. If a change must be made in the shipment, contact the FRC prior to altering or canceling the SF 135 **before** the records are shipped.

e. Instructions for completing the SF 135: (See Figures 7-3, 7-4, , and 7-5 for examples of completed SFs 135.)

(1) *Item 1.* Enter the complete address for the records center serving your area.

(2) *Item 2.* Enter the name and title for the person authorizing the transfer. The date will be entered at the time the transferring official signs the block.

(3) *Item 3.* Provide the name, office, office symbol, and commercial telephone number, including area code, of the person to contact concerning the records. An e-mail address shall also be included.

(4) *Item 4.* This block is completed by the records center upon receipt of the records.

(5) *Item 5*. Give the transferring office's name and complete mailing address.

(6) *Items 6(a) and (b)*. For (a) the NARA record group number assigned to the records of the organization making the transfer and (b) the last two digits of the current fiscal year.

(7) *Item 6(c)*. In most records centers, the staff assigns a sequential number in this column. At the Washington National Records Center (WNRC), agency records officers typically control and assign transfer numbers.

(8) *Item 6(d)*. Enter the volume of records in the shipment. For transfer and billing purposes, a standard-size box equals 1 cubic foot.

(9) *Item 6(e)*. Show the inclusive box numbers for each series of records being transferred. Each carton is numbered sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(10) *Item 6(f)*. Provide a detailed description of the records in the shipment.

(a) Include the record series title, inclusive dates, filing order (for example, filed numerically, alphabetically by subject, etc), organizational component when different from that shown in Item 5, detailed folder listing for each box, and indicate whether the series of records is subject to the PA. Do not include information subject to the PA on the SF 135.

(b) Also include if applicable, the statement *GAO Site Audit* if records have been so designated by GAO and indicate whether they do or do not pertain to American Indians; if non-paper based records such as microfilm, engineering drawing, etc; the format; and if the records belong to a special records collection (for example, John F. Kennedy records), please indicate under this item.

(11) *Item 6(g)*. Complete this section using one of the codes in table 7-1 to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Table 7-1. Restriction Codes

| Code | Restriction                        |
|------|------------------------------------|
| Q    | Q security classification          |
| T    | Top Secret security classification |
| S    | Secret security classification     |



|   |  |
|---|--|
| C | Confidential security classification                                     |
| R | Restricted use - witnessed disposal not required (specify in column (f)) |
| W | Restricted use - witnessed disposal required (specify in column (f))     |
| N | No restrictions  |

(12) *Item 6(h)*. Cite the record number for each record title.

(13) *Item 6(i)*. Enter the date records may be destroyed based on the disposition instructions for the specific record number. The date consists of the month and year the records may be destroyed. For permanent records, no month is shown since records are offered to NARA on an annual basis. Place a "P" after the offer year.

(14) *Items 6(j), (k), (l) and (m)*. These items are completed by the records center.

*f.* When completed, forward the original SF 135 and a copy to the RHA or FRC (as appropriate). Maintain a copy in the office suspense files to follow-up with in the event a response is not received from the RHA or center within approximately 10 working days.

*g.* If acceptable by the RHA or records center, a copy of the SF 135 will be returned authorizing shipment of the boxes. This copy is placed in box 1 of the shipment before the records are sent to the center.

*h.* After the records have been received by the center, another copy of the SF 135 will be returned by the RHA or FRC (as applicable), annotated with a location number, as a receipt after the records have been shelved.

*i.* A copy of each finalized SF 135 transferring records to an FRC will be provided ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860.

## **7-10. Packing the boxes.**

*a.* Use the proper box size when packing the records. See figure 7-6 for types of boxes to use in shipping records. For legal and letter-size material, use standard-size boxes. Use half-size or other boxes only for microfilm, index cards, or other odd-size material. Contact the records center for assistance in selecting the proper container for odd-size materials. Do not use boxes that are damaged or have information obscuring the accession number blocks, or reuse boxes that have stick on labels as they are subject to falling off after several years in storage.

*b.* For instructions on assembling the standard-size box, see figure 7-7.

*c.* Place letter-size records in the box with labels facing the numbered end. The numbered end will be opposite the stapled end. Place legal-size records in the box so that the labels face the left of the box as you face the numbered end. Leave approximately 1 inch of space in each box for working the files (more if interfiles will be added later). Guides and tabs may be left in the records if they will help the records center personnel service the records.

*d.* Do not over pack the boxes. Never add additional material on the bottom, side or top of the records in the box.

#### **7-11. Numbering boxes for shipment.**

*a.* Before the boxes are shipped to the records center, write the transfer number (formerly referred to as the accession number) and the box number in the designated printed blocks on each box at least 1.5" high.

*b.* For boxes without the printed blocks, write the transfer number in the upper left corner and the Army organization box number in the upper right corner of each box at least 1.5" high. Begin with box number 1, and include the total number in the transfer, such as 1/10 (1 of 10), 2/10, 3/10, etc. See Figure 7-8 for sample box depicting transfer and box numbers. The sides of the boxes may be used to write any information concerning box content.

*c.* Do not use labels other than the barcode label to supply additional identifying information. No standard method of affixing labels is effective in long-term storage.

*d.* Do not write on sealing tape. Do not place tape over transfer or box numbers.

#### **7-12. Shipment of boxes.**

*a.* Records must be shipped to the RHA or records center within 90 days after receipt of the approved SF 135. If the transfer cannot be made within this period, promptly advise the RHA or records center. Unexplained delays of more than 90 days will result in the RHA or records center canceling the transfer number and returning the SF 135. If this happens, the organization will then be required to resubmit the transfer paperwork, obtain approval for the shipment, and renumber the containers with a new transfer number.

*b.* In most instances, especially commercial transportation or shipment via the US Postal Service, the boxes must be sealed with tape. Do not tape over the transfer number or the box number. For questions concerning shipping methods and costs, contact GSA's regional Traffic and Travel Service offices.

*c.* Records may be sent by mail, commercial carrier, or common carrier on pallets (portable wooden platforms without wheels). See figure 7-9 for recommended stacking order of boxes on pallets. Some records centers will pick up agency records. Check with your local center for scheduling and fees. For shipments of less than 20 boxes, agencies will find it more economical to mail them to the records center or ship them via commercial carrier. Using a commercial carrier has the advantage of automatic registration and tracking.

*d.* For shipments over 20 boxes, make all the necessary arrangements to ensure that boxes arrive at the records center in numerical order so that Box 1, with a copy of the SF 135 included, is the first box unloaded. If shipments of 20 boxes or more must be mailed, they may be sent in a postal container or by bulk mail.

e. Organizations shipping their boxes on pallets using a commercial carrier should complete a Transportation Services Order. See figure 7-10 for sample transportation services order.

f. For shipments of 100 or more boxes to an FRC, call the records center to schedule a shipping date, and instruct commercial carriers to contact the records center 24 hours before delivery.

g. Shipments arriving at a FRC out of order, in oversize boxes, improperly taped, or improperly marked, may require extensive remedial effort and increased costs. These costs are the responsibility of the shipping organization.

### **7-13. Preparing the SF 258 - Agreement to Transfer Records to the National Archives of the United States.**

a. This form may be initiated by the transferring agency or the National Archives and Records Administration. A separate SF 258 is prepared for each series or SF 115 item being transferred. See Figure 7-11 for a sample of a completed SF 258.

b. When initiated by the transferring agency, the agency completes blocks 4 through 14 using the instructions below. Blocks 2a and b will be completed at ARMDA. Send the original to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860, 60 days before the records are to be transferred to the National Archives.

c. When initiated by NARA, NARA completes blocks 1 and 4 through 14 and sends the original to ARMDA. ARMDA completes block 2b and signs block 2a as indicated in 7-13b above.

d. ARMDA will send the completed form to either the following address or the appropriate National Archives regional archives: Accessions Control Staff (NN-E), Office of the National Archives, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740-6001. The Accessions Control Staff at 301-713-6655 is contacted for address of regional archives.

e. All SF 258s for transfer of records directly from an Army organization must be accompanied by a folder title list of the box contents or equivalent detailed records descriptions.

(1) For electronic records, this requirement is satisfied by providing the documentation and indexes specified in 36 CFR 1234.32 and by following the technical standards in 36 CFR 1228.270, and where appropriate, NARA guidance on transfers of new formats of electronic and digital records.

(2) For other records, the detailed list may be provided in hardcopy or electronic format (word processing, spread sheet, database, or PDF).

f. Instructions for each block on the SF 258:

(1) *Item 1 - Interim Control Number.* Leave blank - NARA will fill in.

(2) *Items 2a and b - Agency Approval.* See 7-13b above.

(3) *Items 3a and b - NARA Approval.* When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3a and b.

(4) *Items 4a and b - Records Series Title/Date Span of Series.* The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records are in a Federal Records Center, attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.

(5) *Items 5a - e - Agency information.* Fully identify the unit (5d) that created or organized the records. Usually this is not the agency's records management office. Place the creating unit within its organization hierarchy (5a-c). For example, the responsible unit is a branch (5d), within a division (minor subdivision) (5c), within an office (major subdivision) (5b), and within the agency or major component of a department (5a). Block 5a should be the official or legal name of the agency or bureau as published in the U.S. Government Manual. In block 5e, include the name and telephone number (including area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

(6) *Item 6 - Disposition Authority.* This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number (ARIMS record number) assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

(7) *Item 7 - Is Security Classified Information Present.* If the records contain security classified information, check "yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (for example, Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check *Segregated* to indicate that security classified record have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check *Declassified* to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

(8) *Items 8, 8a and b - Current Location of Records.* Check the appropriate box for the current location of the records. If the records currently are in an FRC, complete 8b by providing the records center name, accession and container number(s) and the record center location. If the records are located in the transferring agency or other location, provide a complete address in 8a.

(9) *Item 9 - Physical Form(s).* Check all the boxes that apply to the records included in the transfer.

(10) *Item 10 - Volume.* Include both the cubic feet (CF) of the records and the number and type of containers holding the records. For example: CF 15: Number 15: Type FRC boxes. Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

490

491 (11) *Item 11 - Date Records Eligible for Transfer to the Archives.* Indicate the date the  
492 records are eligible for deposit in the National Archives. This date is determined by the  
493 disposition instructions for each record number in the RRS-A.

494 (12) *Item 12 - Are the Records Fully Available for Public Use?* If the records are exempt  
495 from release pursuant to the FOIA, 5 U.S.C. 552(b)(91)-(9) and (c) (1)-(3), this must be fully  
496 justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7  
497 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are  
498 subject to copyright, identify affected items and the copyright holder.

499 (13) *Item 13 - Are These Records Subject to the Privacy Act?* The National Archives is  
500 required to notify the public, through the *Federal Register*, when it takes custody of records  
501 subject to the provisions of the Privacy Act, 5 U. S. C. 552a. The originating agency should use  
502 this block to indicate whether the records covered by this SF 258 are part of a Privacy Act  
503 System of Records and include a citation to a copy of the Privacy Act notice published by the  
504 agency for the system. NARA will use the transferring agency's notice to inform the public  
505 through the *Federal Register*, that the records have been transferred to the National Archives and  
506 that no further modification of them is possible.

507 (14) *Item 14 - Attachments.* Check the appropriate box(es) and indicate the attachment(s)  
508 being submitted with this form.

509 (15) *Item 15 - Shipping Instructions to Agencies/Remarks Regarding Disposition.* NARA  
510 uses this space to provide shipping instructions relating to transfers.

511 (16) *Item 16 - Records Accepted Into the National Archives of the United States.* The  
512 appropriate NARA representative signs block 16 after the record have been received at a NARA  
513 facility and NARA has confirmed that the records received are the records described in block 4.  
514 Transfers to NARA are not final until NARA has signed block 16. NARA sends the ARMDA a  
515 copy of the completed form.

516 (17) *Item 17 - National Archives Accession No.* NARA assigns this unique, permanent  
517 control number to each transfer of records.

| <b>RECORDS TRANSMITTAL AND RECEIPT</b>   |     |  | Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.   |                    |  |             | PAGE<br><b>1</b>   |               | OF<br><b>1 PAGES</b>        |            |            |             |
|--|-----|--|---|--------------------|--|-------------|--|---------------|-----------------------------|------------|------------|-------------|
| 1 TO <u>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</u><br><br><div style="text-align: center;"> <b>Federal Records Center</b><br/>           Washington National Records Center<br/>           Washington, DC 20409         </div> |     |  | 5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)<br><br><div style="text-align: center;">           HQDA (DAJA-IM)<br/>           10151 Rosslyn Plaza North<br/>           1777 N Kent St<br/>           Alexandria, VA 22209-1294         </div> |                    |  |             |  |               |                             |            |            |             |
| 2 AGENCY TRANSFER AUTHORIZATION  |     | TRANSFERRING AGENCY OFFICIAL (signature and title)<br><br>Chief, Information Management Dir  |   |                    |  | 05/04/2003  |  |               |                             |            |            |             |
| 3 AGENCY CONTACT   |     | TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)<br><br>Betty Sines, Rcds Br, DAJA-XX, 703-697-8556, betty.sines@hqda.army.mil |   |                    |  |             |  |               |                             |            |            |             |
| 4 RECORDS CENTER RECEIPT   |     | RECORDS RECEIVED BY (Signature and Title)  |   |                    |  | DATE        |  |               |                             |            |            |             |
| <b>6 RECORDS DATA</b>  |     |  |   |                    |  |             |  |               |                             |            |            |             |
| ACCESSION NUMBER   |     |  | VOLUME<br>(cu. ft.)   | AGENCY BOX NUMBERS | SERIES DESCRIPTION<br>(with inclusive dates of records)  | RESTRICTION | DISPOSAL AUTHORITY<br>(schedule and item number)                             | DISPOSAL DATE | COMPLETED BY RECORDS CENTER |            |            |             |
| RG   | FY  | NUMBER   |   |                    |  |             |  |               | LOCATION                    | SHELF PLAN | CONT. TYPE | AUTO. DISP. |
| (a)  | (b) | (c)  | (d)   | (e)                | (f)  | (g)         | (h)  | (i)           | (j)                         | (k)        | (l)        | (m)         |
|  |     |  | 50  |                    | These records are covered by PA A0027-10bDAJA.<br><br><u>Office of The Judge Advocate General</u><br><br>Special Court Martials (BCD). Filed alphabetically. | R           | Pending<br>N1-AU-00-3<br>Submitted:<br>19 Oct 1999<br>Item #1<br>RN: 27-10d1 |               |                             |            |            |             |

Figure 7-1. Sample SF 135 transferring unscheduled records

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## DETAILED FOLDER LISTING OF BOX 1

525n1 - Operations planning files - Office responsible for preparation of plan

Folders:

- 1 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 2 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 3 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 4 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 5 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 6 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 7 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 8 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 9 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 10 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 11 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 12 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 13 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
- 14 - OPN RESTORE HOPE - G-3 OPNS MESSAGES SENT #41-53 1993

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Figure 7-2. Sample detailed folder listing

Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

|           |               |
|-----------|---------------|
| PAGE<br>1 | OF<br>1 PAGES |
|-----------|---------------|

5 FROM (Enter the name and complete mailing address of the office retiring the records.  
The signed receipt of this form will be sent to this address.)

**Federal Records Center**  
Washington National Records Center  
Washington, DC 20409

Commander  
US Army Soldier Support Center  
ATZI-AG-A/Records Manager  
Fort Benjamin Harrison, IN 46216

|   |  |   |            |
|---|--|---|------------|
| 2 | AGENCY<br>TRANSFER<br>AUTHOR-<br>IZATION | TRANSFERRING AGENCY OFFICIAL ( <i>signature and title</i> )<br><br>Chief, Records management Branch   | 02/23/2004 |
| 3 | AGENCY<br>CONTACT                        | TRANSFERRING AGENCY LIAISON OFFICIAL ( <i>Name, office and telephone No.</i> )<br><br>I.J. Kaye, Rcds Br, ATZI-AB, DSN 669-3613, ij.kaye@benharris.army.mil |            |
| 4 | RECORDS<br>CENTER<br>RECEIPT             | RECORDS RECEIVED BY ( <i>Signature and Title</i> )  | DATE       |

6 RECORDS DATA

| ACCESSION NUMBER |            |            | VOLUME<br><i>(cu. ft.)</i> | AGENCY<br>BOX<br>NUMBERS | SERIES DESCRIPTION<br><i>(with inclusive dates of records)</i>  | RESTRIC-<br>TION | DISPOSAL<br>AUTHORITY<br><i>(schedule and item<br/>number)</i> | DISPOSAL<br>DATE | COMPLETED BY RECORDS CENTER |               |               |                |
|------------------|------------|------------|----------------------------|--------------------------|---|------------------|--|------------------|-----------------------------|---------------|---------------|----------------|
| RG               | FY         | NUMBER     |                            |                          |   |                  |  |                  | LOCATION                    | SHELF<br>PLAN | CONT.<br>TYPE | AUTO.<br>DISP. |
| <i>(a)</i>       | <i>(b)</i> | <i>(c)</i> | <i>(d)</i>                 | <i>(e)</i>               | <i>(f)</i>  | <i>(g)</i>       | <i>(h)</i>   | <i>(i)</i>       | <i>(j)</i>                  | <i>(k)</i>    | <i>(l)</i>    | <i>(m)</i>     |
|                  |            |            | 4                          |                          | (Enter Privacy Act information here if the records listed are subject to the Act.)<br><br>US Army Soldier Support Center, Fort Benjamin Harrison, IN<br><br>Enter Historical Data.<br><br>Staff Judge Advocate<br><br>Article 139 Claim Files. Filed alphabetically. 1993<br><br>A thru C<br>D thru E<br>F thru P<br>Q thru Z | N                | RN: 27-20n   | 1/2004           |                             |               |               |                |

Figure 7-3. Sample SF 135 for single series records shipment



|  |                               |  |   |                    |   |             |  |                      |                             |            |            |             |
|--|-------------------------------|--|---|--------------------|---|-------------|--|----------------------|-----------------------------|------------|------------|-------------|
| <b>RECORDS TRANSMITTAL AND RECEIPT</b>   |                               |  | Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.   |                    |   |             | PAGE<br><b>1</b>                                 | OF<br><b>1 PAGES</b> |                             |            |            |             |
| 1 TO <u>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</u><br><br><div style="text-align: center;"> <b>Federal Records Center</b><br/>           Washington National Records Center<br/>           Washington, DC 20409         </div> |                               |  | 5 FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)<br><br><div style="text-align: center;">           [ Commander<br/>           US Army Armor Center and Fort Knox<br/>           ATZK-IMP<br/>           Fort Knox, Kentucky 40121-5000<br/>           ]         </div> |                    |   |             |  |                      |                             |            |            |             |
| 2  | AGENCY TRANSFER AUTHORIZATION | TRANSFERRING AGENCY OFFICIAL (signature and title)<br>Chief, Information Management Division   |   |                    | 02/23/2004  |             |  |                      |                             |            |            |             |
| 3  | AGENCY CONTACT                | TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No)<br>M.E. Wright, Rcds Br, ATZK-MM, 502-624-6231, me.wright@ftknox.army.mil |   |                    |   |             |  |                      |                             |            |            |             |
| 4  | RECORDS CENTER RECEIPT        | RECORDS RECEIVED BY (Signature and Title)  |   |                    | DATE  |             |  |                      |                             |            |            |             |
| 6 <b>RECORDS DATA</b>  |                               |  |   |                    |   |             |  |                      |                             |            |            |             |
| ACCESSION NUMBER   |                               |  | VOLUME<br>(cu. ft.)   | AGENCY BOX NUMBERS | SERIES DESCRIPTION<br>(with inclusive dates of records)   | RESTRICTION | DISPOSAL AUTHORITY<br>(schedule and item number) | DISPOSAL DATE        | COMPLETED BY RECORDS CENTER |            |            |             |
| RG   | FY                            | NUMBER   |   |                    |   |             |  |                      | LOCATION                    | SHELF PLAN | CONT. TYPE | AUTO. DISP. |
| (a)  | (b)                           | (c)  | (d)   | (e)                | (f)   | (g)         | (h)  | (i)                  | (j)                         | (k)        | (l)        | (m)         |
|  |                               |  | 1   |                    | These records are an addition to a records system previously retired to the records center; and the information previously submitted by HQDA is still applicable.<br><br>Historical Data: (If any)<br><br>U.S. Army Armor Center and Fort Knox<br><br>Mobilization Plans and Programs - Office responsible for preparation. Filed numerically by plan. 2003 | N           | RN: 500-5a1                                      | Perm                 |                             |            |            |             |

NSN 7540-00-634-4093
135-107
Standard Form 135 (Rev. 7-85) Facs Prescribed by NARA 36 CFR 1228.152

Figure 7-4. Sample SF 135 for permanent series records shipment

| <b>RECORDS TRANSMITTAL AND RECEIPT</b>   |            | Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.   |                            |                    |  | PAGE<br><b>1</b>  | OF<br><b>1 PAGES</b>                                    |  |                             |            |            |             |
|--|------------|---|----------------------------|--------------------|--|---|---|--|-----------------------------|------------|------------|-------------|
| 1 TO<br><i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</i>  |            | <div style="text-align: center;"> <b>Federal Records Center</b><br/> Washington National Records Center<br/> Washington, DC 20409 </div> <div style="text-align: center; margin-top: 100px;"> [<br/> Commander<br/> US Army Forces Command<br/> AFCI-PR<br/> 1777 Hardee Ave SW<br/> Fort McPherson, GA 30330-1062<br/> ]<br/> ] </div> |                            |                    |  | 5 FROM <i>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)</i> |   |  |                             |            |            |             |
| 2 AGENCY TRANSFER AUTHORIZATION  |            |   |                            |                    |  |   |   | TRANSFERRING AGENCY OFFICIAL <i>(signature and title)</i><br>Chief, Management Division  |                             | 02/23/2004 |            |             |
| 3 AGENCY CONTACT   |            |   |                            |                    |  |   |   | TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No)</i><br>Reza Monroe, Rcds Br, AFCI-CC, 404-464-1010, a.monroe@ftmonroe.army.mil |                             |            |            |             |
| 4 RECORDS CENTER RECEIPT   |            |   |                            |                    |  |   |   | RECORDS RECEIVED BY <i>(Signature and Title)</i>   |                             | DATE       |            |             |
| 6 <b>RECORDS DATA</b>  |            |   |                            |                    |  |   |   |  |                             |            |            |             |
| ACCESSION NUMBER   |            |   | VOLUME<br><i>(cu. ft.)</i> | AGENCY BOX NUMBERS | SERIES DESCRIPTION<br><i>(with inclusive dates of records)</i>   | RESTRICTION   | DISPOSAL AUTHORITY<br><i>(schedule and item number)</i> | DISPOSAL DATE  | COMPLETED BY RECORDS CENTER |            |            |             |
| RG   | FY         | NUMBER  |                            |                    |  |   |   |  | LOCATION                    | SHELF PLAN | CONT. TYPE | AUTO. DISP. |
| <i>(a)</i>   | <i>(b)</i> | <i>(c)</i>  | <i>(d)</i>                 | <i>(e)</i>         | <i>(f)</i>   | <i>(g)</i>  | <i>(h)</i>  | <i>(i)</i>   | <i>(j)</i>                  | <i>(k)</i> | <i>(l)</i> | <i>(m)</i>  |
|  |            |   | 1                          | MIXED SERIES       | Copyright assistance files are covered by PA A0027-60aDAJA and Royalties by PA A0027-60bDAJA.<br><br><u>Staff Judge Advocate</u><br><br>Data Releases. Filed Alphabetically. 2003<br><br>Royalties. Filed Alphabetically. 2003<br><br>Copyright assistance files. Filed alphabetically. 2003 | N<br><br><br>R<br><br><br>R   | RN: 27-60j<br><br>RN: 27-60jj<br><br>RN: 27-60r         | 1/2025<br><br>1/2025<br><br>1/2025   |                             |            |            |             |
| NSN 7540-00-634-4093 <span style="float: right;">135-107</span> <span style="float: right;">Standard Form 135 (Rev. 7-85) Facs Prescribed by NARA 36 CFR 1228.152</span> |            |   |                            |                    |  |   |   |  |                             |            |            |             |

Figure 7-5. Sample SF 135 for a mixed series records shipment of nonpermanent records

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## TYPES OF BOXES AND SUPPLIES AUTHORIZED FOR RECORDS TRANSFER

### **Boxes:**

Standard size record box for legal- or letter-size files: 14 3/4" x 12" x 9 1/2" (commonly referred to as 15x12x10)

NSN 8115-00-117-8249

Note: Boxes exceeding these dimensions will not fit on records center shelving.

Special purposes boxes - half-size boxes, 14 3/4" x 9 1/2" x 4 3/4"

NSN 8115-00-117-8338

X-ray Box: 18" x 15" x 5 1/2"

NSN 8115-00-290-3386

Magnetic tape box (lock bottom):

14 3/4" x 11 3/4" x 11 3/4"

NSN 8115-00-117-8347

Note: This box is intended only for magnetic tape. It will not fit on standard records center shelves.

### **Other Supplies:**

Tape (recommended) NSN 7510-00-073-6094. (The clear tape does not obscure numbers)

Tape - tan - 3". NSN 7510-00-079-7905

SF 135. NSN 7510-00-634-4093

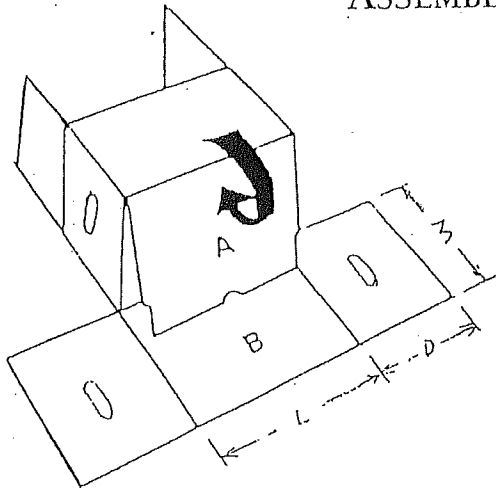
Felt-tip marker. NSN 7510-00-973-1059

Optional Form 11. NSN 7510-00-682-6423

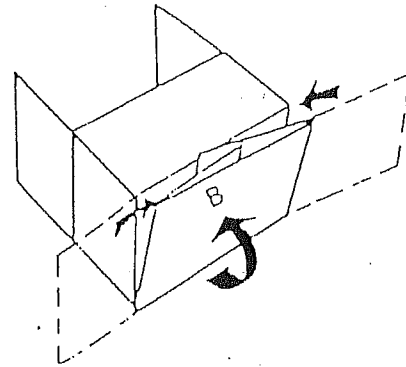
---

Figure 7-6. Types of boxes and supplies required for records transfer

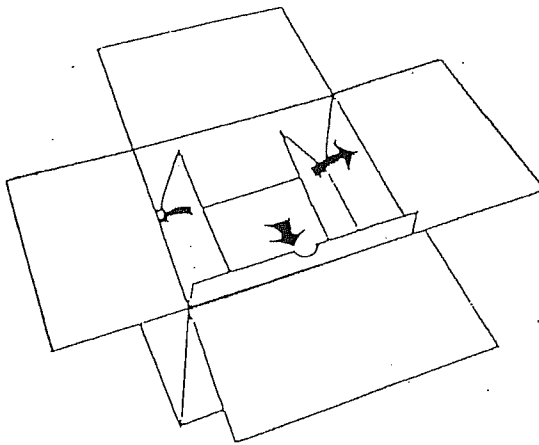
## ASSEMBLY INSTRUCTIONS



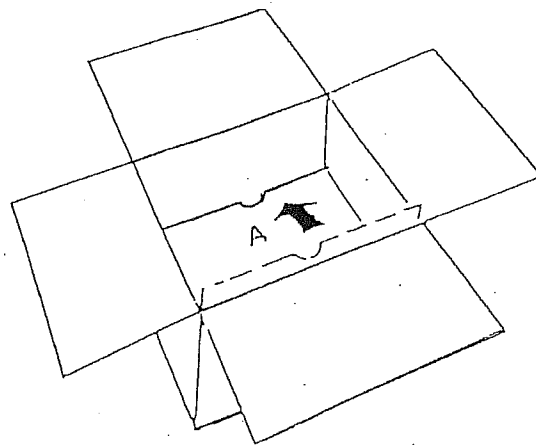
STEP 1. Square up box on its side, and fold flap A inside.



STEP 2. Fold extensions over on flap B, and fold to closed position.



STEP 3. Lift flap A to vertical position, then lift and fold extensions of flap B up against end walls of box.



STEP 4. Lower flap A to bottom of box.

STEP 5. Fold all flaps in (small flaps first, large flaps last).

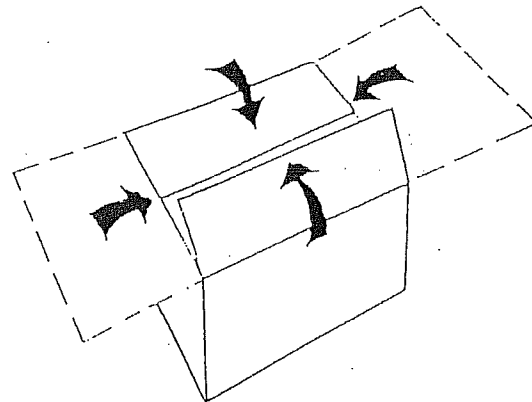


Figure 7-7. Box assembling instructions

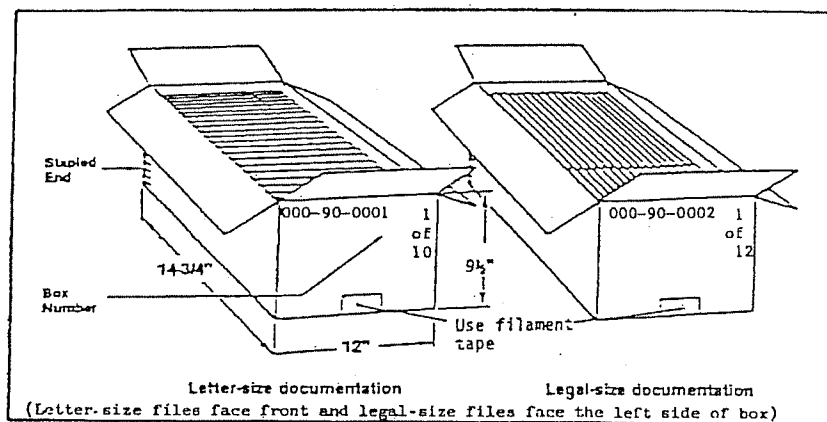


Figure 7-8. Sample box showing transfer and box numbers and placement of letter- and legal size records within the boxes.

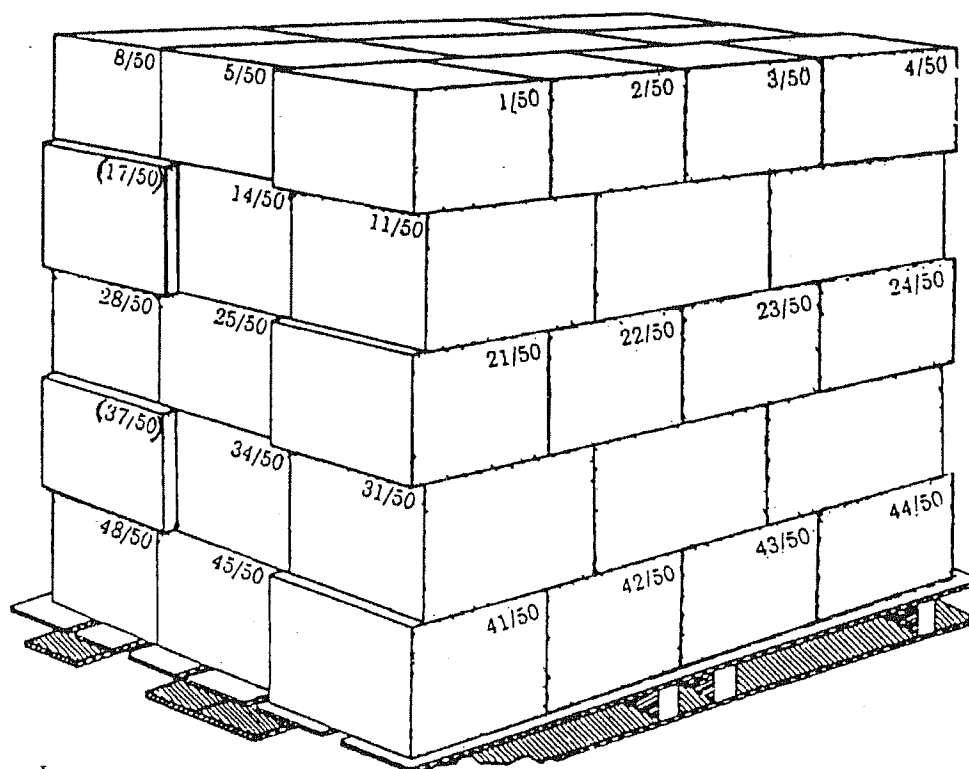
## EXAMPLE OF PROPERLY STACKED PALLET SHOWING AGENCY BOX NUMBERS

|         |     |      |     |
|---------|-----|------|-----|
| 8th     | 9th | 10th |     |
| 5th     | 6th | 7th  |     |
| Box # 1 | 2nd | 3rd  | 4th |

Top View of Top Row

|      |      |      |      |
|------|------|------|------|
| 17th | 18th | 19th | 20th |
| 14th | 15th | 16th |      |
| 11th | 12th | 13th |      |

Top View of Second Row



### INSTRUCTIONS

1. Face the boxes as shown in diagram.
2. Stacking pattern for palletized records is 10 standard records center cartons per row, 5 rows per pallet, 50 cartons per pallet. Box 50 is in the bottom row; and box 1 is in the top row.
3. Four boxes on each row are placed perpendicular to the rest of the boxes in that row.
4. Numbered end not facing the front of the pallet should face right.
5. When records are boxed before pallets are available, keep the boxes in numerical order so they can be loaded on pallets properly.
6. Failure to load pallets properly will be cause for the Center to refuse the records.
7. Pallets should be banded with steel, plastic, or cord strapping before shipping.

Figure 7-9. Stacking order of boxes on pallets

|  |                            |   |  |  |                  |   |                                 |
|--|----------------------------|---|--|--|------------------|---|---------------------------------|
| <b>TRANSPORTATION SERVICES ORDER</b><br><br>This government shipment is subject to the terms and conditions of 41 CFR 102-117 and 118  |                            | 1. TRANSPORTATION ORDER NUMBER  |  | 2. DATE OF REQUEST (MM/DD/YYYY)  |                  | 3. SHIPMENT PICKUP DATE (MM/DD/YYYY)  |                                 |
|  |                            | 4a TSP (Complete mailing address)   |  | 4b. SCAC   |                  | 5. PREFERRED DELIVERY DATE (MM/DD/YYYY)   |                                 |
| 6. REQUESTING AGENCY   |                            | a. NAME AND MAILING ADDRESS   |  |  |                  | b. CONTACT FOR ADDITIONAL INFORMATION<br>Name:<br>Email:<br>Phone No:<br>Fax No:                          |                                 |
| 7. TYPES OF RATES REQUESTED  |                            | <input type="checkbox"/> TRUCK <input type="checkbox"/> RAIL <input type="checkbox"/> AIR<br><input type="checkbox"/> IMPORT <input type="checkbox"/> EXPORT <input type="checkbox"/> DOMESTIC<br><input type="checkbox"/> RATE AND ROUTE VIA CHEAPEST MODE <input type="checkbox"/> OTHER (SPECIFY): |  |  |                  | 8. IF IN LOAD LOTS SHOW   |                                 |
|  |                            |   |  |  |                  | a. NO. OF CARLOADS<br><br>b. NO OF TRUCKLOADS   |                                 |
| 11. COMMODITY DESCRIPTION  |                            | (Give UFC, NMFC number or a clear nontechnical description; show number of packages as prepared for shipment (e.g., crated, uncrated, boxes, skids, loose, SU, KD))<br><br>NOTE: Complete item 28 if multiple origins, destinations or commodities  |  |  |                  |   |                                 |
| 12. CONSIGNOR (SHIPPER) (Name, mailing address, phone number, fax and email)   |                            |   |  | 13. ORIGIN (Freight address of actual shipping point)                                      |                  |   |                                 |
| 14. CONSIGNEE (RECEIVER) (Name, mailing address, phone number, fax and email)  |                            |   |  | 15. DESTINATION (Name, Mailing address, phone number, fax and email)                       |                  |   |                                 |
| 16. CBL REQUESTED<br><input type="checkbox"/> YES    If "yes" complete -><br><input type="checkbox"/> NO   |                            | a. TRANSPORTATION APPROPRIATION NUMBER TO BE SHOWN ON B/L   |  | b. PAYING OFFICE OF REQUESTING AGENCY (Name and mailing address if different than item 6a) |                  |   |                                 |
| 17. IF RAIL ROUTING REQUESTED  |                            | RAIL CARRIER SERVING  |  | PRIVATE SIDING   |                  | If no private siding, give nearest point of rail delivery.  |                                 |
|  |                            | a. Consignor  |  | <input type="checkbox"/> YES <input type="checkbox"/> NO                                   |                  |   |                                 |
|  |                            | b. Consignee  |  | <input type="checkbox"/> YES <input type="checkbox"/> NO                                   |                  |   |                                 |
| 18. ADDITIONAL SHIPPING INFORMATION (Describe articles of unusual size or weight (e.g., 35' long, 8' wide or high); special handling (e.g., hazardous materials); special carrier service needed (e.g., exclusive use of vehicle or intransit cooling).) |                            |   |  |  |                  | 19. GIVE GSA CONTROL NUMBER ASSIGNED TO A PREVIOUS REQUEST FOR SIMILAR RATE/ROUTING INSTRUCTIONS (if any) |                                 |
| <b>RATE/ROUTE RESPONSE</b>   |                            |   |  |  |                  |   |                                 |
| TO: REQUESTING AGENCY (Shown in item 6a)   |                            | Traffic data furnished below and/or on the back (items 29 & 30) is as of the date shown in item 27. If shipment is not made in a reasonable period a new request should be submitted with reference made to the control number in item 26 below.  |  |  |                  |   |                                 |
| 20. TRANSPORTATION SERVICE PROVIDER (Name, Phone, Fax, and Email)  |                            |   |  | 21. APPLICABLE RATE INFORMATION  |                  |   |                                 |
|  |                            |   |  | a. RATE(S)   | b. WEIGHT (Lbs.) | c. TARIFF OR OTHER RATE AUTHORITY   | d. ESTIMATED COST               |
| 22. BILL OF LADING DESCRIPTION WHEN DIFFERENT FROM ITEM 11 (include hazardous materials description, if any)   |                            |   |  | 23. TECHNICIAN'S NAME  |                  |   |                                 |
| 24. REMARKS AND SPECIAL SERVICES   |                            |   |  | 25. ISSUING OFFICER  |                  |   |                                 |
|  |                            |   |  | a. AGENCY INITIATING OFFICER'S ADDRESS, NAME, AND EMAIL                                    |                  |   |                                 |
|  |                            |   |  | 26. CONTROL NUMBER/AGENCY ID NUMBER  |                  | 27. DATE ISSUED (MM/DD/YYYY)  |                                 |
| <b>APPLICABLE DESTINATION INFORMATION</b>  |                            |   |  |  |                  |   |                                 |
| 28a. DATE (MM/DD/YYYY)   | 28b. Actual Delivery Point | 28c. Delivered This Consignment To<br><input type="checkbox"/> Storage in Transit   |  | 28d. COMPLETE & IN APPARENT GOOD ORDER EXCEPT AS MAY BE INDICATED HEREAFTER                |                  | <input type="checkbox"/> Storage  | <input type="checkbox"/> Damage |
| 28e. NAME OF DELIVERING TSP  |                            | 28f. NAME OF DESTINATION TSP  |  | 28g. SIGNATURE OF TSP'S AUTHORIZED AGENT   |                  |   |                                 |

Figure 7-10. Sample transportation services order form

| 29. FOR COMPLETION BY REQUESTING AGENCY          |  |   | 30. FOR COMPLETION BY TSP |                             |                                     |   |
|--|--|---|---------------------------|-----------------------------|-------------------------------------|---|
| COMMODITY DESCRIPTION<br>AND GROSS WEIGHT<br>(a) | ORIGIN, CONSIGNOR AND<br>RAILROAD<br>(b) | DESTINATION, CONSIGNEE<br>AND RAILROAD<br>(c) | RATE<br>(a)               | WEIGHT/<br>DIMENSION<br>(b) | TARIFF OR OTHER<br>AUTHORITY<br>(c) | ROUTE AUTHORIZED<br>FOR SHIPMENT<br>(d) |
|  |  |   |                           |                             |                                     |   |
| REQUESTING AGENCY REMARKS                        |  |   | TSP REMARKS               |                             |                                     |   |

Figure 7-10. Sample transportation services order form - continued



| <b>TRANSPORTATION SERVICES<br/>ORDER CONTINUATION SHEET</b>  |      |                          | <b>ORIGINAL</b>  | ORIGINAL TSO NO. / BL NO. |                                 |      |         |
|--|------|--------------------------|--|---------------------------|---------------------------------|------|---------|
|  |      |                          |  | SHEET NO.                 |                                 |      |         |
| ISSUING OFFICE (Name & complete address, phone & fax numbers)  |      |                          |  |                           |                                 |      |         |
| PACKAGES   |      | HM                       | DESCRIPTION OF ARTICLES<br>(Use carrier's classification or tariff description if possible; otherwise use a clear nontechnical description.) | WEIGHT*<br>(Pounds only)  | FOR USE OF BILLING CARRIER ONLY |      |         |
| NO   | KIND |                          |  |                           | SERVICES                        | RATE | CHARGES |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
|  |      | <input type="checkbox"/> |  |                           |                                 |      |         |
| *Show also cubic measurements for shipments via air, truck or water carrier in cases where required. |      |                          |  |                           |                                 |      |         |

Figure 7-10. Sample transportation services order continuation sheet - continued

# AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES

1. INTERIM CONTROL NO. (NARA Use Only)

## TERMS OF AGREEMENT

The records described below and on the attached \_\_\_\_\_ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.

In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the

use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the *Guide to the National Archives of the United States*. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copies in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.

### 2A. AGENCY APPROVAL

Signature [Signature] Date 3-25-04

### 3A. NARA APPROVAL

Signature \_\_\_\_\_ Date \_\_\_\_\_

### 2B. NAME, TITLE, MAILING ADDRESS

JOHN A. SHARETTS-SULLIVAN  
Chief, Records Management Division,  
7701 Telegraph Road  
Alexandria, VA 22315-3860

### 3B. NAME, TITLE, MAILING ADDRESS

## RECORDS INFORMATION

### 4A. RECORDS SERIES TITLE

Basic Topographic Data - Aerial Photographic Negatives - Nitrate Film (Stable)

4B. DATE SPAN OF SERIES 1935 - 1941

(Attach any additional description.)

### 5A. AGENCY OR ESTABLISHMENT

Dept of the Army

### 5B. AGENCY MAJOR SUBDIVISION

US Army Corps of Engineers

### 5C. AGENCY MINOR SUBDIVISION

USACE Tulsa District

### 5D. UNIT THAT CREATED RECORD

Reprographics Branch

### 5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS

Name Betty Roeder

Telephone Number (918) 669-7463

### 6. DISPOSITION AUTHORITY:

7. IS SECURITY CLASSIFIED INFORMATION PRESENT? ☒ NO ☐ YES

LEVEL: ☐ Confidential ☐ Secret ☐ Top Secret

SPECIAL MARKINGS: ☐ RD/FRD ☐ SCI ☐ NATO

☐ Other \_\_\_\_\_

INFORMATION STATUS: ☐ Segregated ☐ Declassified

### 8. CURRENT LOCATION OF RECORDS

☒ Agency (Complete 8A only)

☐ Federal Records Center (Complete 8B only)

### 8A. ADDRESS

Tulsa District Office

1645 S, 101 East Ave

Tulsa, OK 74128-4609

### 9. PHYSICAL FORMS

☐ Paper Documents ☐ Posters  
☐ Paper Publications ☐ Maps and Charts  
☐ Microfilm/Microfiche ☐ Arch / Eng Drawings  
☐ Electronic Records ☐ Motion / sound / Video  
☐ Photographs ☒ Other (specify): film

10. VOLUME: \_\_\_\_\_ CONTAINERS: \_\_\_\_\_  
Cu. Mtr. \_\_\_\_\_ (Cu. Ft. 19) Number 130 Type canisters

### 11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES

03/24/2004

### 12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE?

☒ YES ☐ NO (If no, attach limits on use and justification.)

### 13. ARE RECORDS SUBJECT TO THE PRIVACY ACT?

☐ YES ☒ NO  
(If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.)

### 14. ATTACHMENTS

☐ Agency Manual Excerpt ☐ Listing of Records Transferred  
☐ Additional Description ☐ NA form 14097 or Equivalent  
☐ Privacy Act Notice ☐ Microform Inspection Report  
☐ Other (specify): \_\_\_\_\_ SF(s) 135

Inventory

### 8B. FRC ACCESSION NUMBER

### CONTAINER NUMBER(S)

### FRC LOCATION

## NARA PROVIDES

### 15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION

RG

### 16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES

Signature \_\_\_\_\_ Date \_\_\_\_\_

### 17. NATIONAL ARCHIVES ACCESSION NO.

## **Chapter 8**

### **Reference Procedures and Services**

#### **8-1. ARIMS Master index of retired records**

*a.* When fully implemented, the ARIMS master index will list all records maintained at RHAs world-wide, FRCs, and the AEA. All records sent to the RHAs, FRCs and the AEA are processed through the Records Input Processing System (RIPS) in ARIMS by RHA and AEA personnel, or in the case of Army organizations, such as HQDA staff elements and any Army organization not residing on an Army installation, by the organization's records administrator, records manager or records coordinator. Additionally, information on electronic T records that are maintained in an agency information system with an approved exception (see para 7-2c), are included in the index.

*b.* Hardcopy records stored in RHAs are indexed to the folder level and may be searched by subject, location, date, organization, and/or file code.

*c.* Electronic records stored in the AEA are indexed to the document level and may be searched by keyword, phrase, subject, date, file size, and/or organization.

*d.* Unless otherwise authorized, no record, record report, or list of records is made available to persons or organizations that are not the creator/owner of the record or responsible for its maintenance or disposition. Third party requests for records (for example, Freedom of Information Act, Privacy Act, or congressional requests) will be forwarded through the proper agency channels for action as needed.

#### **8-2. Records retrieval**

*a.* The search tool located in the ARIMS master index is used to seek, locate, request, and retrieve records stored in the AEA and RHAs. The search tool is also used to locate records stored in an FRC, but the request for the records cannot be made via ARIMS.

(1) Electronic records in the AEA are retrieved online by selecting directly from the master index or from a list of records searched and completing a short request form that is automatically generated. Requests for electronic T records being maintained in an agency information system should be directed to the individual or organization listed on the index for those records and should include the purpose and scope for requesting the information (for example, the last three annual reports for research, to respond to a Congressional, etc).

(2) Records stored at RHAs may be retrieved by selecting from the master index or from a list of records searched and completing a transmittal form which is automatically generated and then sent to the proper RHA staff for processing.

(3) Requests for records stored at FRCs are made by submitting a request to the records center via the Centers Information Processing Systems (CIPS), US Postal Service, commercial courier, e-mail, fax or telephone.

*b.* Prior approval from the ARMDA must be received before requesting records that are needed for special projects or additional requirements resulting from congressional, judicial, or other higher authority mandates. Payment for reference services to meet non-Army business or operational requirements is funded separately and will be charged accordingly.

### **8-3. RHA records reference services**

The following procedures may be implemented by HQDA or MACOM approved RHAs to provide rapid and efficient records reference services. These procedures may be adapted to organize records retrieval in any size office or large file room operation.

*a.* Requests to charge out records may be in memorandum format, on the forms listed in paragraph 8-3b below, or equivalent, such as an electronic check-out/in database used for tracking records actions. Information generally needed to locate and chargeout records material includes:

- (1) Identification of material and record classification, if known.
- (2) Name of writer (organization or individual).
- (3) Date of the document (specific or approximate).
- (4) Requester's name, organization, location, telephone number and e-mail address.

*b.* A charge-out record may be made and substituted for documents removed from a file for reference purposes. Chargeout forms and their recommended use are as follows:

(1) DA Form 543 (Request for Records) is used for documents charged out when the suspense control is needed. The original should be attached to the record material to serve as a routing form and cover sheet and a copy placed in a follow-up or suspense file. A copy of the completed form may also be attached to an OF (Optional Form) 23 (Chargeout Record) or OF 24 (Shelf File Chargeout Record) and placed in the location from which the material is removed. DA forms are available at <http://www.apd.army.mil>. See Figure 8-1 for a sample completed DA 543 form.

(2) OF 23 or OF 24 may be used for documents charged out when suspense control is not desired. See Figures 8-2 and 8-3 for sample OFs 23 and 24.

(3) A chargeout system using DA Form 543 involves a suspense and follow-up procedure to control loaned records. A uniform follow-up time (usually 5 to 10 days) for charged out material should be established. The suspense file should consist of a copy of each of these forms representing charged out documents for use in tracing the records that were charged out from the files area.

### **8-4. Requesting Reference Service from FRCs**

*a. Requesting records via the CIPS.* The CIPS program establishes an electronic link between record centers and customer agencies. Both web access and dial-up modem access to CIPS is available. Recalling records via CIPS is the most cost effective and quickest method because it decreases mail time and NARA's processing time for retrieval. CIPS reduces the cost of transacting government business by sorting requests received into location order for prompt servicing, and it provides tracking capability for the requesting agency as well as the records center on individual requests.

(1) To apply for access to CIPS, complete both the Department of Veterans Affairs VA Form 9957 (Figure 8-4) and the CIPS Registration Form NA Form 13166 (Figure 8-5). Send the completed forms to the CIPS Systems Administrator at the records center that services your records. These forms can be found on the records center program's web site. (The VA is the records center programs contractor for mainframe applications.)

(2) A user ID and password will be issued to each user once forms are received. Organizations will need to specify their record group numbers and any other records center for which access is requested.

*b. Requesting records by e-mail or commercial carrier.*

(1) If CIPS is not used, use Optional Form (OF) 11, Reference Request - Federal Records Center. The OF 11 should be sent to the records center. See Figure 8-6 for a sample OF 11 form.

(a) Use a separate OF 11 or appropriate agency request form for each folder or box requested. Two or more contiguous file items, folders or cartons may be treated as one item and be requested on one OF 11.

(b) When completing the OF 11, you must furnish the transfer number, agency box number, and the records center location number of the first box of the transfer.

(c) The OF 11 is a three-part form. The first part (white) of the OF 11 is used by the records center to service the request and remains with the file until it is returned for refiling. The second part (pink) is retained by the requesting agency for track and control purposes. The third part (tan) is used by the records center as a charge out for the file/box until it is returned from the agency for refiling. Requests for classified records should include all three copies of the OF 11.

(d) Contact GSA's Customer Supply Service to order OF 11 forms.

(2) Use SF 127 - Request for Official Personnel Folder - Separated Employee) to request the return of Official Personnel Folders (Civilian) from the national Personnel Records Center. See Figure 8-7 for a sample completed SF 127.

(3) Use SF 180 - Request Pertaining to Military Records, to request the return of retired Official Military Personnel Folders from the National Personnel Records Center. See Figure 8-8 for a sample SF 180.

*c. Requesting records by e-mail.* Organizations can e-mail requests by completing the forms and sending them directly to the appropriate records center at the designated e-mail address listed for each center.

*d. Requesting records by Fax and telephone.* Agencies may fax emergency requests requiring immediate pick up to the records center. Be sure to identify the pick-up time. Emergency requests are accepted by telephone if fax capability is not available.

*e. Delivery of requested records.* USPS and/or UPS are the standard methods of delivering requested records to organizations. If an organization wishes to have records delivered by overnight express courier, an account number must be provided.

*f. Emergency requests.* Emergency situations are those that require same day pick-up by the agency or use of overnight express courier. When employing this method, agencies must provide the name of the overnight express courier along with a billing account number, or the name of the organization's messenger who will be picking up the file and approximate time of pick-up in the "Remarks" section of the OF 11. Messengers will be required to provide photo ID and agency affiliation when arriving at the records center to pick up requested files. Emergency requests are billed at a higher rate than regular requests.

*g. Refiles.*

(1) Organizations should send requested files back to the records center when no longer needed. Write the word "REFILE" on the white copy of the OF 11 or CIPS request form that accompanied the requested file and return it to the records center. If the OF 11 is no longer attached, specify the refile action in a brief note or cover letter and attach it to the file being returned.

(2) Agencies are required to complete and submit a classified refile manifest when returning folders and boxes for refile. The manifest serves two purposes: accountability of records and as an audit trail. In lieu of the manifest, the Army was granted approval to continue to submit a DA Form 3964, Classified Document Accountability Record, when returning boxes for refile. The DA Form 3964 should also include the courier's name and phone number of the person who prepared the shipment. See Figure 8-9 for a sample DA Form 3964.

*h. Refolding/reboxing.* Do not refold or rebox records drawn back from the records center. Unless some prior arrangement has been agreed to, records must be returned in the original folders or containers to allow accurate refilling. If the box or folder is unusable for shipment, copy the transfer number and location to the front of its replacement.

*i. Interfiles.* Organizations can send documents or folders that were never included in the original transfer to the records center. The organization must provide the transfer number, box number, and file designation where the interfile should be filed.

## **8-5. Relocation of records within an FRC**

Occasionally, it becomes necessary to move records within an FRC. When this happens, the Army will be notified of the relocation. A *Notice of Accession Location Change*, NA Form 13016, is mailed following the relocation. See figure 8-10 for a sample of an NA Form 13016.

#### **8-6. Other services offered by Federal records centers**

*a. Fastpack.* Many records centers offer help in preparing records for shipment to the nearest records center. As agencies confront downsizing and early retirement situations, they often need extra help in ensuring their program activities are properly documented. NARA's records centers can provide help in determining which steps need to be taken and can sometimes offer reimbursable staff time. Contact the Office of Regional Records Services in College Park, MD, at 301-837-2950 for more information. This service must be funded by the requesting organization and approved by their HQDA or MACOM.

*b. Microfilm.* Microfilming services are offered at several records center facilities. Contact the Office of Regional Records Services microfilm coordinator for more information. This service must be funded by the requesting organization and approved by their HQDA or MACOM.

*c. Metro courier service.* Courier service for pick up and delivery of reference requests to Federal agencies is offered in selected metropolitan areas. The service can be provided each business day or as needed for the Federal customer. The centers operate a fleet of minivans to provide this customer service. Each Federal agency on the delivery schedule is assigned a customer service representative who is familiar with his agency's unique needs and filing arrangement. This service is offered on a reimbursable basis. Charges are based on urgency of request. This service is presently offered in the Philadelphia; Washington, DC; Atlanta; and Chicago areas. This service must be funded by the requesting organization and approved by their HQDA or MACOM.

*d. Special projects.* Each records center can provide a number of records-related special projects, such as screenings, inventories, data entry, etc. More information can be obtained from the appropriate regional records center director.

| <b>REQUEST FOR RECORDS</b><br><small>For use of this form, see AR 25-400-2; the proponent agency is ODISC4</small>  |  |  |  |
|---|--|--|--|
| <p style="text-align: center;">PLEASE READ THE FOLLOWING BEFORE COMPLETING THIS FORM</p> <ul style="list-style-type: none"> <li>. These records will be used for official purposes only.</li> <li>. Do not remove, permit to be removed, add to, or reveal the contents to unauthorized persons.</li> <li>. The requester is responsible for return of these records intact to the office of record.</li> </ul> |  |  |  |
| <b>SECTION I – TO BE COMPLETED BY THE REQUESTER</b>   |  |  |  |
| <p>1. RECORD(s) REQUESTED (Give file classification, subject, date, and other identifying information. If records of personnel are Requested, give name (LAST NAME FIRST), grade, SSN, type of file requested, and purpose for which records are to be used.)</p> <p>25-11e1 – Message tape files – Pentagon Telecommunications Center, for period 1 Jun – 31 Jul 2004</p>                                      |  |  |  |
| <p>2. REQUESTER'S ADDRESS</p> <p>US ARMY Records Management and Declassification Agency<br/>           AHRC-PDD-R, Casey Bldg, Room 102<br/>           7701 Telegraph Road<br/>           Alexandria, VA 22315-3860</p>   |  | <p>3. ESTIMATED NO. OF DAYS RECORDS ARE NEEDED</p> <p style="text-align: center;">14</p> |  |
| <p>4. TELEPHONE NO.</p> <p style="text-align: center;">703-428-1111</p>   |  | <p>5. DATE</p> <p style="text-align: center;">17 Nov 2004</p>                            |  |
| <p>6. NAME AND SIGNATURE OF REQUESTER</p> <p style="text-align: center;"><i>Elizabeth Jones</i><br/>           ELIZABETH JONES</p>  |  |  |  |
| <b>SECTION II – TO BE COMPLETED BY THE RECORDS CUSTODIAN</b>  |  |  |  |
| <p>7. SEARCHER'S REPORT</p>   |  |  |  |
| <p>a. RECORDS ATTACHED FOR DELIVERY TO ADDRESS IN ITEM 2.</p>   |  | <p>d. NAME, ADDRESS, TELEPHONE NO., AND DATE LOANED</p>                                  |  |
| <p>b. RECORDS CURRENTLY ON LOAN (Complete block 7d.)</p>  |  |  |  |
| <p>c. UNABLE TO IDENTIFY RECORDS</p>  |  |  |  |
| <p>8. DATE RECORDS MUST BE RETURNED</p>   |  |  |  |
| <p>9. ADDRESS OF CUSTODIAN</p>  |  | <p>10. TELEPHONE NO.</p>   |  |
|   |  | <p>11. DATE</p>  |  |
|   |  | <p>12. NAME AND SIGNATURE OF CUSTODIAN</p>   |  |
| <b>SECTION III – TO BE COMPLETED BY THE OFFICE OF RECORD</b>  |  |  |  |
| <p>13. DATE RETURNED</p>  |  | <p>14. SIGNATURE OR INITIALS OF INDIVIDUAL TO WHOM RECORDS WERE RETURNED</p>             |  |

DA FORM 543, NOV 2000

REPLACES DA FORM 543, JAN 93, WHICH IS OBSOLETE

APD V2.00

Figure 8-1. Sample completed DA Form 543



# OUT

| IDENTIFICATION OF RECORD<br>(NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT) | CHARGED TO<br>(PERSON & OFFICE)     | DATE<br>CHARGED<br>OUT    |
|--|-------------------------------------|---------------------------|
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
| OPTIONAL FORM 23<br>FEB 1962<br>GSA Circular No. 259                                 | <b>CHARGEOUT RECORD</b><br>5023-101 | GPO c4316-80979-1 386-299 |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
|  |                                     |                           |
| IDENTIFICATION OF RECORD<br>(NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT) | CHARGED TO<br>(PERSON & OFFICE)     | DATE<br>CHARGED<br>OUT    |

Figure 8-2. Sample OF 23

| IDENTIFICATION OF FILE | CHARGED TO | DATE CHARGED | IDENTIFICATION OF FILE | CHARGED TO | DATE CHARGED |
|------------------------|------------|--------------|------------------------|------------|--------------|
|                        |            |              |                        |            |              |
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|                        |            |              |                        |            |              |

OPTIONAL FORM 24  
JANUARY 1975  
GSA Circular No. 259

SHELF FILE CHARGEOUT RECORD (Letter Size)

5024-102

|   |  |   |                        |
|---|--|---|------------------------|
| <b>Department of Veterans Affairs</b>   |  | <h2 style="margin: 0;">TIMESHARING USER ACCESS REQUEST</h2> |                        |
| <b>IMPORTANT:</b> See instructions and privacy act statement on reverse.  |  |   |                        |
| 1. ACTION REQUESTED<br><br><input type="checkbox"/> ADD <input type="checkbox"/> CHANGE <input type="checkbox"/> DELETE   |  | 2. EFFECTIVE DATE   | 3. REQUEST DATE        |
| <b>4. USER IDENTIFICATION</b>   |  |   |                        |
| A. NAME (Last, first, middle initial)   |  | B. OFFICE TELEPHONE NO. (FTS)                               | C. SOCIAL SECURITY NO. |
| D. COMPLETE ADDRESS (Station name, number, address, city, state, and ZIP Code)  |  | E. DIVISION AND SECTION                                     |                        |
|   |  | F. JOB TITLE  |                        |
|   |  | G. STATION NUMBER/MAIL ROUTING SYMBOL                       |                        |
| <b>5. ACCESS INFORMATION</b>  |  |   |                        |
| A. APPLICATION OR DATASET(S) (i.e., CALM, CAPPs, etc. Application facility will be assigned.)   |  |   |                        |
|   |  |   |                        |
|   |  |   |                        |
|   |  |   |                        |
| B. LEVEL OF ACCESS REQUIRED FOR EACH DATASET (Read-Only, Create, Modify, etc.)  |  |   |                        |
|   |  |   |                        |
|   |  |   |                        |
| C. FACILITY ACCESSED (If other than application is necessary)<br><br><input type="checkbox"/> TSO <input type="checkbox"/> WYLBUR <input type="checkbox"/> ROSCOE <input type="checkbox"/> DATABASE (RDMS, PDMS, IDMS) <input type="checkbox"/> OTHER |  |   |                        |
| D. DATABASE ONLY (Applies only to requests for RDMS, PDMS, IDMS)  |  |   |                        |
| ON-LINE QUERY   |  | DATA DICTIONARY   |                        |
| E. DATABASE SUBSCHEMA TO BE ACCESSED  |  |   |                        |
| <b>6. APPROVAL INFORMATION REQUIRED</b>   |  |   |                        |
| A. INITIATING SUPERVISOR  |  |   | DATE                   |
| B. FIELD STATION DIRECTOR   |  |   | DATE                   |
| C. SYSTEM MANAGER/DATA OWNER (VACO)   |  |   | DATE                   |
| D. PROCESSOR (047X4)(VACO)  |  |   | DATE                   |

Figure 8-4. VA Form 9957 – Timesharing User Access Request

# CIPS Registration Form

## NARA Records Center Program

### General Instructions

The following information is needed to establish a user account for the Centers Information Processing System (CIPS). The Records Officer's signature is required. If you have any questions concerning CIPS or this form, please contact your servicing NARA Records Center. This form must be used in conjunction with VA Form 9957, ACRS Time Sharing Request Form.

### User Information

#### Identification of requester (user)

Name:

Title:

Address:

Phone: (     )

Fax: (     )

Email:

#### Shipping address where all requested records are to be sent:

Name:

Title:

Address:

Phone: (     )

Fax: (     )

Email:

From what Record Group(s) will the user request records? (e.g., DVA=RG 015, IRS=RG 058, DFAS=RG 507, etc.)

#### From what Record Center(s) will the user request records?

☐ Atlanta

☐ Boston

☐ Chicago

☐ Dayton

☐ Denver

☐ Ft. Worth

☐ Kansas City

☐ Los Angeles

☐ Philadelphia

☐ Pittsfield

☐ San Francisco

☐ Seattle

☐ CPR-St. Louis

☐ MPR-St.Louis

☐ Washington National Records Center-Suitland

Requester's signature

Date

### Records Officer Concurrence:

Name:

Title:

Phone: (     )

Fax: (     )

Email:

Address:

The user is hereby authorized to change the mailing address where records are to be sent.



Records Officer's Signature

Date:

**PRIVACY ACT STATEMENT:** The information is solicited under the authority of Title 38, United States Code and Executive Order 9397 and is necessary to accomplish the action requested by the requester. Furnishing the information on this form is voluntary; however, if the information is not furnished, we will be unable to take further action on your request.

|  |  |  |  |
|--|--|--|--|
| <b>REFERENCE REQUEST - FEDERAL RECORDS CENTERS</b>   |  | <b>NOTE: Use a separate form for each request.</b> |  |
| <b>SECTION I - TO BE COMPLETED BY REQUESTING AGENCY</b>  |  |  |  |
| ACCESSION NO.  | AGENCY BOX NUMBER                          | RECORDS CENTER LOCATION NUMBER                     |  |
|  |  | OF   |  |
| DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED  |  |  |  |
| <input type="checkbox"/> BOX   |  |  |  |
| <input type="checkbox"/> FOLDER (include file number and title)  |  |  |  |
| REMARKS  |  |  |  |
| NATURE OF SERVICE<br><input type="checkbox"/> FURNISHED COPY OF RECORD(S) ONLY <input type="checkbox"/> PERMANENT WITHDRAWAL <input type="checkbox"/> TEMPORARY LOAN OF RECORD(S) <input type="checkbox"/> REVIEW <input type="checkbox"/> OTHER (Specify) _____ |  |  |  |
| <b>SECTION II--FOR USE BY RECORDS CENTER</b>   |  |  |  |
| <input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED  |  | REMARKS  |  |
| <input type="checkbox"/> WRONG ACCESSION NUMBER - PLEASE RECHECK   |  |  |  |
| <input type="checkbox"/> WRONG BOX NUMBER - PLEASE RECHECK   |  |  |  |
| <input type="checkbox"/> WRONG CENTER LOCATION - PLEASE RECHECK  |  |  |  |
| <input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED   |  |  |  |
| <input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified)  |  |  |  |
| <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):  |  |  |  |
| Name:  |  |  |  |
| Agency:  |  |  |  |
|  |  | DATE   | SERVICE  |
|  |  | TIME REQUIRED                                      | SEARCHER'S INITIALS  |
|  |  |  |  |
| <b>SECTION III--FOR USE BY RECORDS CENTER</b>  |  |  |  |
| NAME OF REQUESTER  | TELEPHONE NO. <input type="checkbox"/> FTS | DATE   | <b>RECEIPT OF RECORDS</b>  |
| NAME AND ADDRESS OF AGENCY<br>(Include street address, building, room no., and ZIP Code)   |  |  | Requester please sign, date and return this form, for file item(s) listed above, <i>ONLY</i> if the block to right has been checked by the Records Center. |
| (In Washington, D.C. area also include STOP number)  |  |  | <input type="checkbox"/>   |
|  |  |  | SIGNATURE  |
|  |  |  | DATE   |

NSN 7540-00-682-6423

PREVIOUS EDITION USABLE

OPTIONAL FORM 11 (Rev. 7-87)  
NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
36 CFR 1228.162

Figure 8-6. OF 11 - Reference Request - Federal Records Center

|  |                                  |   |           |
|--|----------------------------------|---|-----------|
| <b>REQUEST FOR OFFICIAL PERSONNEL FOLDER</b><br>(SEPARATED EMPLOYEE)   |                                  | 1. DATE OF REQUEST<br>23 Feb 04   |           |
| <b>SECTION I - TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE</b>  |                                  |   |           |
| 2. CURRENT NAME <i>(Last, first, middle)</i><br><br>Jones, Jimmy J.  |                                  | 2a. NAME UNDER WHICH FORMERLY EMPLOYED FEDERALLY <i>(If different than Item 2)</i>  |           |
| <b>NATIONAL ARCHIVES AND RECORDS ADMINISTRATION</b><br><b>NATIONAL PERSONNEL RECORDS CENTER</b><br>(Civilian Personnel Records)<br>111 WINNEBAGO STREET<br>ST. LOUIS, MO 63118   |                                  | 3. DATE OF BIRTH<br>16 Oct 56   |           |
|  |                                  | 4. SOCIAL SECURITY NUMBER<br>200-00-0005  |           |
|  |                                  | <b>SUBMIT IN DUPLICATE FOR EACH FOLDER REQUESTED</b><br><i>Original will be used to send folder or reply to your agency.</i><br><i>Second copy retained by agency for its suspense files.</i><br><i>Third copy is for records center use.</i> |           |
| <b>5. PREVIOUS FEDERAL EMPLOYMENT</b>  |                                  |   |           |
| AGENCY AND BUREAU  | LOCATION                         | FROM  | TO        |
| The Adjutant General Center  | Forrestal Bldg<br>Washington, DC | 23 Jun 78   | 04 Sep 80 |
| 6. REASON FOR REQUEST <i>(Check appropriate box)</i>   |                                  |   |           |
| <input type="checkbox"/> a. Currently employed. <input checked="" type="checkbox"/> b. Temporary use. <input type="checkbox"/> c. Pre-employment consideration. Will retain folder if hired.   |                                  |   |           |
| REMARKS  |                                  |   |           |
| <b>SECTION II - FOR USE BY RECORDS CENTER</b>  |                                  |   |           |
| <input type="checkbox"/> a. Folder enclosed.   |                                  | <input type="checkbox"/> e. Folder was sent (Date) _____<br>To: _____<br>_____<br>_____<br>_____  |           |
| <input type="checkbox"/> b. Our search did not reveal a record of claimed civilian Federal employment. Please submit any additional information or documentation that will help verify this employment.  |                                  | <input type="checkbox"/> f. Other<br>_____<br>_____<br>_____  |           |
| <input type="checkbox"/> c. Folder not received. Suggest you contact last employing office.  |                                  | <input type="checkbox"/> Your agency  |           |
| <input type="checkbox"/> d. Folder not located. For a former employee of your agency, we suggest a further search of your agency. If still unlocated, verify name, date of birth, and social security number, and return request to NPRC together with the date folder was transferred to NPRC and several names, dates of birth, and social security numbers of other folders in same shipment. |                                  |   |           |
|  |                                  | DATE  | INITIALS  |
| <b>SECTION III - TO BE COMPLETED BY REQUESTING PERSONNEL OFFICE</b>  |                                  |   |           |
| NAME OF REQUESTER  |                                  | TELEPHONE NO.   |           |
| <div style="border: 1px solid black; width: 100%; height: 100%;"></div>  |                                  | Enter complete address to which folder or reply is to be mailed. Include ZIP Code.  |           |

Figure 8-7. SF 127 – Request for Official Personnel Folder

**REQUEST PERTAINING  
TO MILITARY RECORDS**

To ensure the best possible service, please thoroughly review the instructions at the bottom before filling out this form. Please print clearly or type. If you need more space, use plain paper.

**SECTION I - INFORMATION NEEDED TO LOCATE RECORDS (Furnish as much as possible.)**

|  |  |                        |               |  |          |   |  |
|--|--|------------------------|---------------|--|----------|---|--|
| 1. NAME USED DURING SERVICE (Last, first, and middle)  |  | 2. SOCIAL SECURITY NO. |               | 3. DATE OF BIRTH   |          | 4. PLACE OF BIRTH   |  |
| 5. SERVICE, PAST AND PRESENT (For an effective records search, it is important that ALL service be shown below.) |  |                        |               |  |          |   |  |
| BRANCH OF SERVICE  |  | DATES OF SERVICE       |               | CHECK ONE  |          | SERVICE NUMBER<br>DURING THIS PERIOD<br>(If unknown, please write "unknown.") |  |
|  |  | DATE ENTERED           | DATE RELEASED | OFFICER  | ENLISTED |   |  |
| a. ACTIVE SERVICE  |  |                        |               |  |          |   |  |
| b. RESERVE SERVICE   |  |                        |               |  |          |   |  |
| c. NATIONAL GUARD  |  |                        |               |  |          |   |  |
| 6. IS THIS PERSON DECEASED? If "YES" enter the date of death.  |  |                        |               | 7. IS (WAS) THIS PERSON RETIRED FROM MILITARY SERVICE?   |          |   |  |
| <input type="checkbox"/> NO <input type="checkbox"/> YES   |  |                        |               | <input type="checkbox"/> YES <input type="checkbox"/> NO |          |   |  |

**SECTION II - INFORMATION AND/OR DOCUMENTS REQUESTED**

1. **REPORT OF SEPARATION** (DD Form 214 or equivalent). This contains information normally needed to verify military service. It may be furnished to the veteran, the deceased veteran/s next of kin, or other persons or organizations if authorized in Section III, below. NOTE: If more than one period of service was performed, even in the same branch, there may be more than one Report of Separation. Be sure to show EACH year for which you need a copy.

☐ An **UNDELETED** Report of Separation is requested for the year(s) \_\_\_\_\_. This normally will be a copy of the full separation document including such sensitive items as the character of separation, authority for separation, reason for separation, reenlistment eligibility code, separation (SPD/SPN) code, and dates of time lost. An undeleted version is ordinarily required to determine eligibility for benefits.

☐ A **DELETED** Report of Separation is requested for the year(s) \_\_\_\_\_. The following information will be deleted from the copy sent: authority for separation, reason for separation, reenlistment eligibility code, separation (SPD/SPN) code, and for separations after June 30, 1979, character of separation and dates of time lost.

**2. OTHER INFORMATION AND/OR DOCUMENTS REQUESTED**

3. **PURPOSE (OPTIONAL)** - An explanation of the purpose of the request is strictly voluntary. Such information may help the agency answering this request to provide the best possible response and will in no way be used to make a decision to deny the request.)

**SECTION III - RETURN ADDRESS AND SIGNATURE****1. REQUESTER IS**☐ Military service member or veteran identified in Section I, above☐ Legal guardian (must submit copy of court appointment)☐ Next of kin of deceased veteran \_\_\_\_\_  
(relation)☐ Other (specify) \_\_\_\_\_**2. SEND INFORMATION/DOCUMENTS TO**  
(Please print or type. See instruction 3, below.)

Name \_\_\_\_\_

Street \_\_\_\_\_

Apt. \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

ZIP Code \_\_\_\_\_

**3. AUTHORIZATION SIGNATURE REQUIRED** (See instruction 2, below.)

I declare (or certify, verify, or state) under penalty of perjury under the laws of the United States of America that the information in this Section III is true and correct.

Signature of Requester (Please do not print.) \_\_\_\_\_

Date of this request \_\_\_\_\_

Daytime phone \_\_\_\_\_

**INSTRUCTIONS***Please detach this portion before submitting request.*

1. **Information needed to locate records.** Certain identifying information is necessary to determine the location of an individual's record of military service. Please try to answer each item on this form. If you do not have and cannot obtain the information for an item, show "NA," meaning the information is "not available." Include as much of the requested information as you can.

2. **Restrictions on release of information.** Release of information is subject to restrictions imposed by the military services consistent with Department of Defense regulations and the provisions of the Freedom of Information Act (FOIA) and the Privacy Act of 1974. The service member (either past or present) or the member's legal guardian has access to almost any information contained in that member's own record. Others requesting information from military personnel/health records must have the release authorization in Section III of this form signed by the member or legal guardian, but if the appropriate signature cannot be obtained, only limited types of information can be provided. If the former member is deceased, surviving next of kin may, under certain circumstances, be entitled to greater access to a deceased veteran's records than a member of the public. The next of kin may be any of the following: unmarried surviving spouse, father, mother, son, daughter, sister, or brother. Employers and others needing proof of military service are expected to accept the information shown on documents issued by the military service departments at the time a service member is separated.

3. **Where reply may be sent.** The reply may be sent to the member or any other address designated by the member or other authorized requester.

4. **Charges for service.** There is no charge for most services provided to members or their surviving next of kin. A nominal fee is charged for certain types of service. In most instances service fees cannot be determined in advance. If your request involves a service fee, you will be notified as soon as that determination is made.

**SEE REVERSE FOR PRIVACY ACT AND PUBLIC BURDEN STATEMENTS**

Figure 8-8. SF 180 - Request Pertaining to Military Records

## LOCATION OF MILITARY RECORDS

The various categories of military service records are described in the chart below. For each category there is a code number which indicates the address at the bottom of the page to which this request should be sent.

**1. Health and personnel records.** In most cases involving individuals no longer on active duty, the personnel record, the health record, or both can be obtained from the same location, as shown on the chart. However, some health records are available from the Department of Veterans Affairs (VA) Records Management Center (Code 11). A request for a copy of the health record should be sent to Code 11 if the person was discharged, retired, or released from active duty (separated) on or after the following dates: ARMY--October 16, 1992; NAVY--January 31, 1994; AIR FORCE and MARINE CORPS--May 1, 1994. Health records of persons on active duty are generally kept at the local servicing clinic, and usually are available from Code 11 a week or two after the last day of active duty.

**2. Records at the National Personnel Records Center.** Note that it takes at least three months, and often six or seven, for the file to reach the National Personnel Records Center (Code 14) in St. Louis after the military obligation has ended (such as by discharge). If only a short time has passed, please send the inquiry to the address shown for active or current reserve members. Also, if the person has only been released from active duty but is still in a reserve status, the personnel record will stay at the location specified for reservists. A person can retain a reserve obligation for several years, even without attending meetings or receiving annual training.

**3. Definitions and abbreviations.** DISCHARGED--the individual has no current military status; HEALTH--Records of physical examinations, dental treatment, and outpatient medical treatment received while in a duty status (does not include records of treatment while hospitalized); TDRL--Temporary Disability Retired List

**4. Service completed before World War I (before 1929 for Coast Guard officers).** The oldest military service records are at the National Archives (Code 6). Send the request there if service was completed before the following dates: ARMY--enlisted, 11/1/1912, officer, 7/1/1917; NAVY--enlisted, 1/1/1886, officer, 1/1/1903; MARINE CORPS--1/1/1905; COAST GUARD--enlisted, 1/1/1915, officer, 1/1/1929.

BRANCH                      CURENT STATUS OF SERVICE MEMBER                      WHERE TO WRITE ADDRESS CODE

| BRANCH          | CURRENT STATUS OF SERVICE MEMBER   | WHERE TO WRITE ADDRESS CODE |
|-----------------|--|-----------------------------|
| AIR<br>FORCE    | Discharged, deceased, or retired with pay (See paragraph 1, above, if requesting health record.)   | 14                          |
|                 | Active (including National Guard on active duty in the Air Force), TDRL, or general officers retired with pay  | 1                           |
|                 | Reserve, retired reserve in nonpay status, current National Guard officers not on active duty in the Air Force, or National Guard released from active duty in the Air Force | 2                           |
|                 | Current National Guard enlisted not on active duty in the Air Force  | 13                          |
| COAST<br>GUARD  | Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)  | 14                          |
|                 | Active, reserve, or TDRL   | 3                           |
| MARINE<br>CORPS | Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)  | 14                          |
|                 | Individual Ready Reserve or Fleet Marine Corps Reserve   | 5                           |
|                 | Active, Selected Marine Corps Reserve, or TDRL   | 4                           |
| ARMY            | Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)  | 14                          |
|                 | Reserve; or active duty records of current National Guard members who performed service in the U.S. Army before 7/1/72   | 7                           |
|                 | Active enlisted (including National Guard on active duty in the U.S. Army) or TDRL enlisted  | 9                           |
|                 | Active officers (including National Guard on active duty in the U.S. Army) or TDRL officers  | 8                           |
|                 | Current National Guard enlisted not on active duty in Army (including records of Army active duty performed after 6/30/72)   | 13                          |
|                 | Current National Guard officers not on active duty in Army (including records of Army active duty performed after 6/30/72)   | 12                          |
| NAVY            | Discharged, deceased, or retired (See paragraph 1, above, if requesting health record.)  | 14                          |
|                 | Active, reserve, or TDRL   | 10                          |

## ADDRESS LIST OF CUSTODIANS (BY CODE NUMBERS SHOWN ABOVE) - where to write / send this form

|          |   |          |  |           |  |           |   |
|----------|---|----------|--|-----------|--|-----------|---|
| <b>1</b> | Air Force Personnel Center<br>HQ AFPC/DPSRP<br>550 C Street West, Suite 19<br>Randolph AFB, TX 78150-4721                         | <b>5</b> | Marine Corps Reserve Support Command<br>(Code MMT)<br>15303 Andrews Road<br>Kunsas City, MO 64147-1207           | <b>8</b>  | U.S. Total Army Personnel<br>Command<br>200 Stovall Street<br>Alexandria, VA 22332-0400                  | <b>12</b> | Army National Guard Readiness Center<br>NGB-ARP<br>111 S. George Mason Dr.<br>Arlington, VA 22204-1382            |
| <b>2</b> | Air Reserve Personnel Center/DSMR<br>6760 E. Irvington Pl. #4600<br>Denver, CO 80280-4600   | <b>6</b> | Archives I Textual Reference Branch<br>(NNR1), Room 13W<br>National Archives and<br>Records Administration       | <b>9</b>  | Commander USAEREC<br>Attn: PCRE-F<br>8899 E. 56th St.<br>Indianapolis, IN 46249-5301                     | <b>13</b> | The Adjutant General<br>(of the appropriate state, DC,<br>or Puerto Rico)   |
| <b>3</b> | Commander CGPC-Adm-3<br>U.S. Coast Guard<br>2100 2nd Street, SW.<br>Washington, DC 20593-0001                                     | <b>7</b> | Commander<br>U.S. Army Reserve Personnel Center<br>ATTN: ARPC-VS<br>9700 Page Avenue<br>St. Louis, MO 63132-5200 | <b>10</b> | Bureau of Naval Personnel<br>Pers-313D<br>2 Navy Annex<br>Washington, DC 20370-3130                      | <b>14</b> | National Personnel Records Center<br>(Military Personnel Records)<br>9700 Page Avenue<br>St. Louis, MO 63132-5100 |
| <b>4</b> | Headquarters U.S. Marine Corps<br>Personnel Management Support Branch<br>(MMSB-10)<br>2008 Elliot Road<br>Quantico, VA 22134-5030 |          |  | <b>11</b> | Department of Veterans Affairs<br>Records Management Center<br>P.O. Box 5020<br>St. Louis, MO 63115-5020 |           |   |

## PRIVACY ACT OF 1974 COMPLIANCE INFORMATION

The following information is provided in accordance with 5 U.S.C. 552a(e)(3) and applies to this form. Authority for collection of the information is 44 U.S.C. 2907, 3101, and 3103, and E.O. 9397 of November 22, 1943. Disclosure of the information is voluntary. If the requested information is not provided, it may delay servicing your inquiry because the facility servicing the service member's record may not have all of the information needed to locate it. The purpose of the information on this form is to assist the facility servicing the records (see the address list) in locating the correct military service record(s) or information to answer your inquiry. This form is then filed in the requested military service record as a record of disclosure. The form may also be disclosed to Department of Defense components, the Department of Veterans Affairs, the Department of Transportation (Coast Guard), or the National Archives and Records Administration when the original custodian of the military health and personnel records transfers all or part of those records to that agency. If the service member was a member of the National Guard, the form may also be disclosed to the Adjutant General of the appropriate state, District of Columbia, or Puerto Rico, where he or she served.

## PAPERWORK REDUCTION ACT PUBLIC BURDEN STATEMENT

Public burden reporting for this collection of information is estimated to be five minutes per response, including time for reviewing instructions and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to National Archives and Records Administration (PIRM-POL), 8601 Adelphi Road, College Park, MD 20740-6001. DO NOT SEND COMPLETED FORMS TO THIS ADDRESS. SEND COMPLETED FORMS AS INDICATED IN THE ADDRESS LIST ABOVE.



| CLASSIFIED DOCUMENT ACCOUNTABILITY RECORD  |                     |                              |  |   |  | DATE                    |            |
|--|---------------------|------------------------------|--|---|--|-------------------------|------------|
| For use of this form, see AR 380-5; the proponent agency is the Office, Assistant Chief of Staff for Intelligence.             |                     |                              |  |   |  |                         |            |
| <b>SECTION A - GENERAL</b>   |                     |                              |  |   |  |                         |            |
| TO:  |                     |                              |  | FROM:   |  |                         |            |
| DATE RECEIVED  |                     | ACTION OFFICE(S)             |  | SUSPENSE DATE(S)  |  | REGISTER OR CONTROL NO. |            |
| CONTROL LOG<br>OR FILE NO.   | CLASSIFI-<br>CATION | NUMBER<br>OF COPIES          | DESCRIPTION (Type, File Ref., Unclassified Subject<br>or Short Title and Number of Indorsements/Incls) |   |  | DATE OF<br>DOCUMENT     | ORIGINATOR |
|  |                     |                              |  |   |  |                         |            |
| <b>SECTION B - ROUTING</b>   |                     |                              |  |   |  |                         |            |
| TO   |                     | COPY NO.                     | DATE   | I ACKNOWLEDGE RECEIPT OF THE MATERIAL DESCRIBED HEREON      |  |                         |            |
|  |                     |                              |  | PRINTED NAME  |  | SIGNATURE               |            |
| 1.   |                     |                              |  |   |  |                         |            |
| 2.   |                     |                              |  |   |  |                         |            |
| 3.   |                     |                              |  |   |  |                         |            |
| 4.   |                     |                              |  |   |  |                         |            |
| 5.   |                     |                              |  |   |  |                         |            |
| <b>SECTION C - DESTRUCTION CERTIFICATE</b> (Check appropriate block)   |                     |                              |  |   |  |                         |            |
| MATERIAL DESCRIBED HEREON HAS BEEN:  |                     |                              |  |   |  | PAGE OR COPY NO         |            |
| <input type="checkbox"/> DESTROYED <input type="checkbox"/> TORN IN HALF AND PLACED IN A CLASSIFIED WASTE CONTAINER (AR 380-5) |                     |                              |  |   |  |                         |            |
| OFFICE SYMBOL  |                     | DATE                         | PRINTED NAME OF CUSTODIAN OR REP   |   |  | SIGNATURE               |            |
| DESTRUCTION RECORD NO.   |                     | DATE                         | PRINTED NAME OF CERTIFYING/DESTR. OFF.   |   |  | SIGNATURE               |            |
| PAGE OR COPY NUMBER  |                     | DATE                         | PRINTED NAME OF WITNESSING OFFICIAL  |   |  | SIGNATURE               |            |
| <b>SECTION D - REPRODUCTION AUTHORITY</b>  |                     |                              |  |   |  |                         |            |
| NUMBER OR COPIES TO BE REPRODUCED  |                     |                              | AUTHORIZED BY  |   |  | DATE                    |            |
| <b>SECTION E - RECEIPT/TRACER ACTION</b> (Check appropriate block)   |                     |                              |  |   |  |                         |            |
| <input type="checkbox"/> RECEIPT OF DOCUMENT(S) ACKNOWLEDGED   |                     |                              |  | <input type="checkbox"/> DOCUMENT(S) HAVE NOT BEEN RECEIVED |  |                         |            |
| <input type="checkbox"/> TRACER ACTION: SIGNED RECEIPT FOR MATERIAL DESCRIBED ABOVE HAS NOT BEEN RECEIVED.                     |                     |                              |  |   |  |                         |            |
| DATE   |                     | PRINTED NAME, GRADE OR TITLE |  |   |  | SIGNATURE               |            |
| COMMENTS   |                     |                              |  |   |  |                         |            |

|  |   |                              |
|--|---|------------------------------|
| <b>NOTICE OF ACCESSION LOCATION CHANGE</b>   | DATE OF NOTICE<br>12/30/04  | NEW LOCATION<br>FU-063303    |
| THE RECORDS DESCRIBED IN THIS NOTICE HAVE BEEN RELOCATED WITHIN THE CENTER. PLEASE NOTE THIS CHANGE ON YOUR SF 135, AS THIS NEW LOCATION MUST BE FURNISHED WITH ANY REQUEST FOR RECORDS FROM THIS ACCESSION. | <b>RECORDS DESCRIPTION</b>  |                              |
|  | ACCESSION NUMBER<br>338-85-0055   | SUBGROUP                     |
| REMARKS  | DISPOSAL AUTHORITY<br>ARIMS/40/66k  | VOLUME<br>(Cu. Ft.)<br>1.000 |
|  | SERIES DESCRIPTION<br>OPT DEP<br>77   |                              |
|  | ADDRESS OF FEDERAL RECORDS CENTER<br>NATIONAL PERS RECDS CENTER<br>(CIVILIAN PERSONNEL RECORDS)<br>111 WINNEBAGO STREET<br>ST LOUIS, MO 63118 |                              |

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 13016 (1-93)

Figure 8-10. Sample NA Form 13016 – Notice of Accession Location Change

## **Chapter 9**

### **Records Disposition**

#### **9-1. Disposition**

The final stage of the records life cycle is disposition. Records disposition includes transfer to Army RHAs or FRCs, transfer from one agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Temporary records are disposed of in accordance with the disposition instructions that were developed when the records were scheduled. This usually consists of destruction or deletion, but may be by donation, sale or recycling.

#### **9-2. Records disposal**

*a.* Unclassified records authorized for destruction will be disposed of as follows:

(1) Hardcopy records will be:

(a) Processed through property disposal channels for sale or recycling.

(b) Destroyed in accordance with local policy if they cannot be economically sold.

(c) Disposed of under the DOD Precious Metals Recovery Program when in the form of exposed x-ray film, motion picture film, and certain microfilm that contains precious metals.

(d) Unidentified x-ray films and those in advanced stages of decomposition that can neither be interpreted nor copied should be destroyed since acetate and nitrate in advanced stages of decomposition can damage nearby records in good condition, and since decomposing nitrate poses a fire hazard. Prior approval from ARMDA is required. ARMDA will report the destruction to the Archivist of the United States (36 CFR 1229.92(B)).

(2) Electronic records will be deleted if on tape or updatable media; otherwise, the location (index) information will be deleted so that the records cannot be retrieved. Due to personal health risk, agencies will not destroy CD ROMS/optical disks by burning, pulverizing, or shredding. They will be stored pending development of final disposition instructions. If the volume of stored disks becomes a storage or security concern, the manufacturer should be contacted to seek assurance that the product does not contain toxic substances. With manufacturer assurance relating to specific disk products, excess disks may be smelted.

*b.* Destroy unclassified records with access restrictions such as FOUO or subject to the PA by shredding or burning.

*c.* Destroy classified records in accordance with AR 380-5.

*d.* Unclassified records authorized for destruction may be donated to an eligible person, organization, institution, corporation, or government if donation is approved by the OAASA. Process requests through local records management channels to ARMDA. Specify the name and

address of the records custodian, the name and address of the proposed recipient, and a complete description, ARIMS record number and title, and inclusive dates of the records.

### **9-3. Records freezes or moratoriums.**

*a.* Records freezes, preservation orders, or moratoriums are exceptions to disposition instructions. Records freezes or moratoriums refer to a court or agency-imposed requirement to keep the record until disputes or litigation and all appeals are resolved.

*b.* The ARMDA receives notification of the requirement to suspend disposition from HQDA information proponents, DOD and Army General Counsel, or the Department of Justice.

*c.* The ARMDA notifies the NARA, DA Staff principals, MACOMS, and combatant commanders to suspend regular disposition of the affected records and when the freeze or moratorium is lifted. Each organization or installation notifies its subordinate or supported activities that a freeze exists or has been lifted.

*d.* Records affected by a freeze cannot be destroyed on schedule and must be held until the freeze is lifted before normal disposition can be continued. The RHA and AEA managers are accountable for the frozen records in the physical custody of their respective facilities. Records held in the CFA or an automated information system are also affected by a freeze and the burden is on the individual office/system's manager to ensure records affected by a freeze are not destroyed until the freeze is lifted.

### **9-4. Deviations from disposition instructions**

The Archivist of the United States must approve deviations from disposition instruction in the ARIMS RRS-A. Requests for deviations will be sent through records management channels for evaluation at the MACOM or HQDA level to determine whether an exception is warranted or if the disposition instructions should be changed. Valid requests will be forwarded through the proponent of the prescribing directive to the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 and will include - -

*a.* The record title, number, and brief description of the records involved.

*b.* Justification for the deviation, consisting of evidence of specific need for the records and information on their continuing administrative, legal, or fiscal value to the U.S. Government.

*c.* The physical location of the records, including information on whether the records were or will be transferred to an RHA or to the AEA.

### **9-5. Disposition of records on change of status**

*a.* The term "change of status" refers to -

(1) Redesignation or reorganization.

(2) Transfer of functions.

(3) Discontinuance.

(4) Movement.

b. The following rules apply when the status of an Army organization or agency changes:

(1) *Redesignation or reorganization.* On redesignation or reorganization without a transfer of functions, continue records retention, cutoff, and disposition as if no change had occurred.

(2) *Transfer of functions.* When a function is transferred from one Army organization to another, transfer the current records relating to the transferred functions to the gaining organization. Transfer inactive records to the designated RHA or OCRHA. A list of the records transferred to the gaining organization and a copy of the SF 135, listing the inactive records transferred or retired, will be given to the records management officials of the gaining organization and the next higher headquarters.

(3) *Discontinuance of any Army organization with a transfer of functions.* Follow instructions in paragraph b(2) above.

(4) *Discontinuance of an Army organization without a transfer of functions.* Transfer records not eligible for immediate disposal to the RHA. When the organization is not served by an RHA or in cases where RHA is also discontinued, retire records not eligible for disposal to the appropriate records centers. Send a copy of the SF 135 listing the records transferred or retired, to the records management official in the next higher headquarters.

(5) *Discontinuance of an installation and placement of the installation in an inactive or standby status.* Keep records required for continued maintenance of the installation until they are eligible for disposition under this regulation. Dispose of other records in accordance with b(2) and b(4) above.

(6) *Movement of CONUS units preparing for overseas movement.* Immediately prior to overseas movement, destroy records eligible for destruction; prepare records prescribed for retention by the unit for shipment; and transfer other records promptly to the RHA of the last permanent station.

(7) *Movement of Army organizations in CONUS.* If the movement is without personnel and equipment, cut off records as of the date of the transfer and send immediately to the RHA of the losing installation. Records that are essential to the operation of the unit at its new location may be obtained upon request to the losing installation.

(8) *Movement with personnel and equipment.* The records go with the unit.

(9) *Movement of Army units in overseas commands.* Current records will go with the unit. Transfer other records not required for future actions to the appropriate OCRHA.

(10) *Movement of Army units from overseas to CONUS.* If the movement is made with personnel, the records will go with the unit. If the movement is made without personnel, the records will be transferred to the appropriate OCRHA; records that are found to be essential to operation of the unit in CONUS may be requested from the OCRHA.

c. If there are questions about how to handle electronic records under the above scenarios, please contact ARMDA for guidance.

#### **9-6. Unauthorized destruction, damage, or removal of records or accidental destruction**

In cases of accidental loss or destruction of records by fire, hurricane, or other cause, the custodian of the records will -

a. Reconstruct as much of the lost or destroyed records as possible. Records can often be reconstructed from other copies of the information maintained in other elements of the Army. Reconstructed records should be documented with cross-referenced material to aid in identifying their original content.

b. A list of the records that cannot be reconstructed should be provided to the records officer. The records officer will record these records on an SF 135 or equivalent, at the time that records of the same period are transferred to the RHA or AEA. An SF 135 or equivalent will be forwarded to the FRC by RHA or AEA personnel, at the time the records would have been retired if they still existed.

c. The maximum penalty for the willful and unlawful destruction, damage, removal, or alienation of Federal records is a fine, 3 years in prison, or both (18 USC 2071).

#### **9-7. Destruction as result of international armed conflict or threatened war**

a. During an international armed conflict between the United States and any other nation or when hostile action by a foreign power appears imminent, records in the custody of the Army outside the territorial limits of the continental United States may be destroyed if it is determined that -

(1) Their retention would be prejudicial to the interest of the United States.

(2) They occupy space urgently needed for military purposes and are without sufficient administrative, legal, research, or other value (44 USC 3311).

b. Within 6 months of the destruction, forward the following information through agency records channels to the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860, for notification to the NARA:

(1) Description of the records.

(2) When and where the destruction was accomplished.

(3) Method of destruction.

**9-8. Disposition of records that are a menace to human life, health, or property.**

For early disposal of records that are a menace to human life, health, or property:

*a.* Contact local fire officials if the records have nitrocellulose base film that has deteriorated to the extent that it is emitting a noxious odor, contains gas bubbles, or has retrograded into an acrid powder and then immediately notify the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860. If records are in stable condition, contact ARMDA prior to taking any actions. Thought should also be given to converting these type records to a safety film.

*b.* For records of other menace, notify the ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860, to obtain authority for disposing of records. Provide the record number and title, description of records, volume, location, and nature of the menace.

**9-9. Notification of pending disposition.**

Army organizations are notified when records reach the end of their life cycle and are ready for disposition by the ARIMS or by the FRCs.

*a. Records in ARIMS AEA:* The Records Disposition Report available from the Records Disposition Module under the Master Index, lists all records within a unit that will reach their disposition date as of the end of the fiscal or calendar year. In this module, users can:

(1) Approve disposal of the records listed.

(2) Request their continued retention when written justification is provided such as for audit, legal, or other pertinent issues.

(3) Request their return to the originating/gaining organization or its higher proponent organizations.

*b. Records in Federal records centers.* Organizations are notified of the pending disposition of records with one of three forms:

(1) Notice of Eligibility for Disposal, NA Form 13001, is mailed via certified mail 90 days before scheduled destruction to ARMDA who in turn sends it to the MACOM of the organization that created the records. Upon return of the disposal notice and a positive concurrence, or a signed statement that destruction is authorized, the records will be destroyed as scheduled. See Figure 9-1 for a sample of an NA Form 13001. Since the records center must receive a written, positive concurrence before disposition takes place, a timely review of the disposal notice must be done. If the organization does not concur with the disposal, a signed and dated justification for non-concurrence must be returned to ARMDA.

(2) Agency Review for Contingent Disposal, NA Form 13000, is mailed during October of each year to ARMDA who in turn mails it to the appropriate MACOM or HQDA staff agency. The Army organization must sign and return the form, indicating approval of the disposal before the records can be destroyed. If the records cannot be destroyed, the form should be signed, dated, and returned, indicating a new review date. Please reply promptly; if a response is not received within 90 days, the records center will be instructed to return the records to owner (36 CFR 1228.164(b)). See figure 9-2 for a sample of an NA Form 13000.

(3) A partially completed Agreement to Transfer Records to the National Archives of the United States, Standard Form 258, is forwarded to ARMDA when permanent records stored at an FRC are scheduled for transfer into the National Archives. The SF 258 is used to document the change in legal custody of the records and to state terms of the transfer. See figure 7-12 for a sample of an SF 258.

## **9-10. Disaster Recovery of Records**

*a.* Emergencies can damage property and/or hinder or disrupt the operations of an organization. They can occur at any time and range from small localized problems such as a broken water pipe, to devastating destruction such as hurricanes or tornadoes. They can be caused by accidents, such as inadvertently hitting the delete key, or maliciously, such as intentional destruction by disgruntled employees, criminals and terrorists.

*b.* Emergency preparedness plans are designed to reduce the risk of property damage caused by an emergency or disaster, and to mitigate the impact if one occurs. A disaster plan for records should be part of an organization's overall emergency management program. Practicing the plan increases the benefits of having one, as does scheduled reviews and updates.

*c.* The first phase of an emergency preparedness plan is to reduce the risk of loss through prevention. Determine what the hazards are and list ways to remove or reduce them (for example, install fire detection and suppression equipment, do not store records in a basement subject to flooding, backup electronic files regularly.) Conduct a comprehensive records inventory to identify what records are vital to your organization (such as those that your organization must have to continue operations and those that are considered rights and interests records (for example, financial records, personnel records)). Vital records are the most valuable to your organization and need to have the most resources dedicated to protecting them. The easiest way to reduce risk of record loss is duplicating them and storing them in a separate geographical place of lower risk or not subject to the same risks as the original location. In the case of paper documents containing signatures, it may be preferred to store the originals offsite and keeping the duplicates for everyday use.

*d.* The second phase of a plan should include a list of responses to be taken before, during, and after an emergency occurs. These include such activities as securing the physical area, removing records from the area, protecting records from further physical damage, reconstructing records that have been damaged or lost.



e. The third phase includes restoring and reconstituting your original site once the emergency has passed (if possible), or returning to normal operations at a new site.

## 9-11. Damaged Records

General Guidance. It is important to take care of damaged records within 24-48 hours.

a. When records are water damaged.

(1) Many record materials will respond well to simple air drying as long as minor physical distortion is acceptable. Small quantities may be spread out on top of clean blotting material (paper toweling, etc.) in a cool dry location with plenty of air circulation. As long as materials are not too densely packed and active drying conditions are maintained, mold growth should be mitigated. While high heat and harsh sunlight will dry records quickly, they may permanently damage record materials and should be avoided. Quantities too large to handle within the first 48 hours should be frozen either for defrosting and air drying at a later date, or for referral to a commercial drying vendor or preservation professional. For response and recovery guidelines see: [Federal Emergency Management Agency \(FEMA\) Response and Recovery](http://www.fema.gov/library/respandrecov.shtm) at [www.fema.gov/library/respandrecov.shtm](http://www.fema.gov/library/respandrecov.shtm) for salvage instructions. Also, see [A Primer on Disaster Preparedness, Management and Response: Paper-Based Materials](http://www.archives.gov/preservationrecords-mgmt/vital-records/recovery.html/disaster_preparedness_procedures.html#pubs) ([http://www.archives.gov/preservationrecords-mgmt/vital-records/recovery.html/disaster\\_preparedness\\_procedures.html#pubs](http://www.archives.gov/preservationrecords-mgmt/vital-records/recovery.html/disaster_preparedness_procedures.html#pubs) and [Salvage Operations for Water Damaged Collections by Betty Walsh, Conservator Provincial Archives of British Columbia](http://palimpsest.stanford.edu/waac/wn/wn10/wn10-2/wn10-202.html) (<http://palimpsest.stanford.edu/waac/wn/wn10/wn10-2/wn10-202.html>))

(2) Some record materials will dry more satisfactorily than others; and metal, plate glass, some photographs and furniture may be exceptions to freezing. Questions about the treatment of particularly valuable wet records should be referred to a preservation professional immediately. For a referral, see: [American Institute for Conservation's \(AIC\) Guidelines for Selecting a Conservator](http://aic.stanford.edu/public/select.html) at <http://aic.stanford.edu/public/select.html>.

b. When records have "bugs."

(1) There are many types of pests that are attracted to paper. Contact your local agricultural extension service or an entomologist for accurate identification. Chemical treatment (fumigation) may permanently damage record materials and should be avoided. Instead, attempt to address the source of the infestation: seal all possible entry points; promptly remove or seal up pest lures, such as food or trash; keep temperature and relative humidity low; and keep the area clean and dust-free.

(2) If the infestation affects only part of a collection, isolate the materials in a tightly sealed plastic bag and consult a preservation professional. Pests found in records are most commonly the types attracted to damp conditions. If the infestation is wide-spread, it is likely there is excess moisture present that must be located and the resulting high relative humidity eliminated. Spread the records out in a cool, dry location with plenty of air circulation. This should drive the pests away. As long as proper conditions are maintained, any eggs left behind will not hatch and offspring will either not survive or move on to a more hospitable environment.

c. When records have mold growing on them.

(1) Mold grows in areas with high temperature, high relative humidity, and low air circulation. Isolate moldy record materials in a cool, dry location, with plenty of air circulation so they will not contaminate nearby items; do not return the records to their original location until the conditions causing the mold growth are addressed.

(2) Once record materials are removed to a less hospitable environment, the mold will become loose and powdery as the substrate dries and the mold turns dormant. It may then be gently brushed off the record materials. Because the mold is merely dormant, if it remains on the record materials or is distributed throughout the space and onto other objects, it will grow whenever environmental conditions are favorable again. Mold should, therefore, be removed either outdoors or into a vacuum cleaner equipped with a HEPA filter -- regular vacuum cleaners will merely exhaust and re-circulate mold back into the room.

(3) Ideally, the faster record materials are dried the better. However, some record materials may distort physically if dried too quickly. Contact a preservation professional for advice on how to handle moldy record materials of high value. For a referral see: [American Institute for Conservation's \(AIC\) Guidelines for Selecting a Conservator](#), paragraph 9-11a(2) above.

(4) Many people are sensitive to mold and some mold species are toxic. Moldy items should, therefore, be handled with extreme care. Do not proceed with any treatment once any negative health effects are observed, no matter how minor they appear.

## **9-12. Deleted/Lost Electronic Records**

a. Loss of power is one source of losing data. This can be eliminated by the use of power protection such as surge suppressors and battery packs.

b. Information can also be lost due to hard disk crashes caused by contaminated systems due to hair, snack food, cigarette smoke, etc. Measures should be taken to ensure a clean environment.

c. While it might appear that deleted or lost data has disappeared, in many instances the information may be recovered. If the information is important and it cannot be easily duplicated, there are many companies that specialize in recovering such data. The names and contacts for such companies should be readily at hand should the need arise.

|   |                          |   |                         |
|---|--------------------------|---|-------------------------|
| <b>NOTICE OF ELIGIBILITY FOR DISPOSAL</b>   |                          | DATE OF NOTICE<br>12/01/04  | DISPOSAL DATE<br>200501 |
| <p>The records described in this notice appear eligible for disposal on the date shown. In accordance with 36 CFR 1228.170(b), they will be destroyed only with the concurrence of the agency having legal custody of the records. If you concur with the destruction of these records, sign and date this notice in the appropriate blocks below, return the notice to the Federal Records Center, and annotate your SF 135 (all copies) to show that the records have been destroyed.</p> |                          | RECORDS DESCRIPTION   |                         |
|   |                          | ACCESSION NUMBER<br>338-92-0193   | SUBGROUP<br>DS          |
|   |                          | DISPOSAL AUTHORITY<br>ARIMS/40/66BB   | VOLUME (c.f.)<br>62.000 |
|   |                          | SERIES DESCRIPTION, INCLUSIVE DATES, AND<br>BOX NUMBERS (if applicable)<br><br>DIAGNOSTIC X-RAYS DESERT STORM |                         |
| REMARKS<br><br>LOCATION    HU-016524    HU-016585<br><br>DIRECTOR<br>USAISC-P (ASQNS-OP-F)<br>ROOM 1146, HOFFMAN BLDG I<br>ALEXANDRIA, VA 22331-0301<br><div style="text-align: right;"><i>21<sup>st</sup>/85<sup>th</sup> Evac Hosp Saudi Arabia</i></div>   |                          | ADDRESS OF FEDERAL RECORDS CENTER   |                         |
|   |                          | NATIONAL PERS RECODS CENTER<br>(CIVILIAN PERSONNEL RECORDS )<br>111 WINNEGABO STREET<br>ST LOUIS, MO 63118    |                         |
| SIGNATURE<br><i>Linda Smiley</i>  | TITLE<br>Records Manager | DATE<br>12/01/04  |                         |
| NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  |                          |   | NA 13001                |

Figure 9-1. Sample completed NA 13001

|  |  |                                      |  |  |                  |
|--|--|--------------------------------------|--|--|------------------|
| <b>AGENCY REVIEW FOR CONTINGENT DISPOSAL</b>   |  | DATE OF NOTICE<br>12/01/96           |  | DISPOSAL DATE  |                  |
| <p>THE RECORDS DESCRIBED ARE NOW SCHEDULED FOR DISPOSAL CONTINGENT ON COMPLETION OF SOME ACTION OR EVENT. PLEASE REVIEW THIS ACCESSION TO DETERMINE WHEN THE RECORDS MAY BE DESTROYED AND RETURN THIS FORM INDICAING YOUR APPROVAL OR DISAPPROVAL. IF YOU APPROVE, THE RECORDS WIL BE DESTROYED ON THE DATE YOU INDICATED BELOW. IF YOU DISAPPROVE, PLEASE INDICATE A NEW REVIEW DATE. NO ACTION WILL BE TAKEN ON THESE RECORDS UNTIL THIS FORM IS RETURNED TO OUR OFFICE.</p> <p><b>PLEASE ACT PROMPTLY</b></p> |  | <b>RECORDS DESCRIPTION</b>           |  |  |                  |
|  |  | ACCESSION NUMBER<br>338-92-0193      |  | SUBGROUP   |                  |
|  |  | DISPOSAL AUTHORITY<br>ARIMS/40/66k   |  | VOLUME<br>(Cu.Ft.) 62.000                                  |                  |
|  |  | SERIES DESCRIPTION<br>OPT DEP 78     |  |  |                  |
| <input checked="" type="checkbox"/> APPROVED   | DISPOSAL DATE<br>(Month and year)<br>01/2005 | <input type="checkbox"/> DISAPPROVED | NEW REVIEW DATE  | SIGNATURE/TITLE<br><i>Linda Farrell</i><br>Records Manager | DATE<br>12/01/04 |
| ADDRESS OF AGENCY<br><br>DIRECTOR, USAISC-P<br>ROOM 1146, HOFFMAN BLDG<br>ALEXANDRIA, VA 22331-0301  |  |                                      | ADDRESS OF FEDERAL RECORDS CENTER<br><br>NATIONAL PERS RECORDS CENTER (CIV PERSONNEL RCDS)<br>111 WINNEBAGO STREET<br>ST LOUIS, MO 63118 |  |                  |
| NATIONAL ARCHIVES AND RECORDS ADMINISTRATION   |  |                                      |  | NA FORM 13000  |                  |

Figure 9-2. Sample completed NA Form 13000

**Chapter 10**

**Records Holding Areas and Federal Records Centers**

**10-1. Regional and overseas records holding areas**

*a.* Installation RHAs and FRCs will be used to store inactive hardcopy records. Optimal use of these facilities will provide for the most efficient and economical management of agency records.

*b.* An overseas command records holding area (OCRHA) will be maintained in each major OCONUS command. The commander of each major OCONUS command will notify ARMDA of the activation, change, or discontinuance and the new address of any OCRHA within his or her command jurisdiction. See AR 25-400-2, table 10-1 for a listing of the current OCRHAs and addresses.

**10-2. Establishing records holding areas**

*a.* Installations or agencies may establish or maintain a local RHA if the need is justified and cost effective.

*b.* Approval to establish an RHA, must be obtained from the MACOM, IMA or Agency records administrator, who will report the establishment to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 within 30 days of its establishment.

*c.* When approved, space for RHA use will be limited to the minimum required for records holding. The space selected, must comply with the facility standards in 36 CFR, Part 1228, Subpart K, Facility Standards for Record Storage Facilities, 1228.228 through 1228.232 (see Appendix D). Steel shelving of the type manufactured by the Federal Prisons Industries, Incorporate (National Stock Number 7125-00-550-6015, Open Type "E," Class III, Metal Storage and Display Shelving) should be used.

(1) Offices of HQDA. RHAs may be established within offices of HQDA where space is available and such an operation is cost effective.

(2) Installations and off-post activities. If justified and approved, an RHA may be established, and if warranted, would serve all activities located within the same geographical area.

**10-3. Operation of records holding areas**

*a.* Records will be identified IAW procedures outlined in this pamphlet.

*b.* RHAs will not be used simply as a dumping site for boxes of records that have not been identified as to their content and that do not contain an accurate SF 135 listing their contents.

c. RHA operators will ensure that eligible records are retired or destroyed at the proper time and that access to stored records is available. They will --

(1) Ensure that all records are indexed in the ARIMS master index down to the folder level.

(2) Ensure that records are placed within the storage facility in a manner that assures their rapid retrieval when needed. Establish a locator and disposition file. This file has copies of SF 135s prepared by offices placing records in the RHA or when records are retired to the FRCs. This file makes it easier to locate records in the RHA and to retrieve records from an FRC.

(3) Ensure that records removed from the RHA for reference or other actions are returned within a reasonable time frame. Use DA Form 543 or equivalent as a chargeout suspense system for this purpose. See Figure 8-1 for a sample completed DA 543.

#### **10-4. Discontinuance of records holding areas**

a. When the records storage requirements of organizations being serviced by an RHA drop below 100 linear feet annually, the RHA should be discontinued. Exceptions are permitted if this is not practical or cost effective.

b. When the decision is made to close an RHA, the RHA records manager must inform the RHA customers of the date the RHA will close, dispose of records eligible for destruction, provide customers a list of their records that are not eligible for retirement to a Federal records center, and ask them if they want the remaining records returned to them or shipped to another approved location.

c. An audit trail of the records must be maintained by the closing RHA records manager. The original SF 135 should be attached to the new SF 135 transferring the records to the FRC or to the office of origin. A copy of the SF 135 will also be forwarded to ARMDA (JDRP-RDR-R), 7701 Telegraph Road, Alexandria, VA 22315-3860 and the Master Index will be updated with the new location of the records.

#### **10-5. Army records centers.**

There are three Army records centers for intelligence and criminal investigative records. These centers are listed in table 10-1, AR 25-400-2.

#### **10-6. NARA Federal Records Centers**

a. The NARA records centers listed in table 10-1, AR 25-400-2, have been established in CONUS to receive and maintain records with long-term or permanent value, pending their ultimate destruction or accession into the National Archives.

b. Installations and activities not serviced by an installation RHA (such as HQDA staff elements and Army organizations not residing on an Army installation) may use the NARA facilities for storing their long-term or permanent value records.

92        *c.* NARA runs its services on a reimbursable basis. ARMDA centrally funds the basic  
93 services (storage fees and referencing costs). Other services must be funded by the organization  
94 owning the records and be approved by their HQDA or MACOM.  
95

96        *d.* Chapter 8 provides detailed instructions on requesting reference services from the NARA  
97 facilities.  
98

## **Chapter 11**

### **Records Management Program Evaluations**

#### **11-1. General.**

*a.* In order to ensure that good recordkeeping practices have been implemented within the different Army organizations and that all recordkeeping requirements are being met, evaluations must be performed periodically. AR 25-1 requires a survey and appraisal of the records management program at least once every three years. This survey is performed by the organization's records management official.

*b.* The recordkeeping program evaluation is conducted as part of the records management program evaluation.

#### **11-2. Evaluation objectives**

*a.* To determine the level of compliance with Army regulations governing the related program elements.

*b.* To assess the effectiveness of the recordkeeping program.

*c.* To provide on-the-spot advice and assistance as may be needed to improve the efficiency of program operations.

*d.* To advise the commander of the organization visited (in writing) of the general and specific findings and to offer recommendations for correction of noted deficiencies.

#### **11-3. Scheduling the evaluation**

Develop/update a 3-year program evaluation cycle of all organizations to be evaluated in accordance with the requirements of AR 25-1 and coordinate with each of the organizations to be evaluated.

#### **11-4. Notification**

*a.* Three months prior to a visit, telephone the organization's records coordinator and confirm the dates of the visit.

*b.* After confirming dates for the visit, send a formal notification addressed to the commander of the organization to be visited so that it will arrive 2 months prior to the scheduled evaluation date. In the notification, include the name, security clearance of the person(s) doing the evaluation, program elements to be evaluated, a proposed itinerary, and a request for information needed both prior to and during the visit. Entrance and exit interviews should also be addressed.

*c.* One month prior to the visit, review information provided by the organization and confirm the itinerary.



**11-5. Entrance briefing**

Brief the Commander of the organization being evaluated or a designated representative. The form of the briefing is normally set by the organization visited (for example, it may be as formal or informal as they desire). The organization visited may elect to provide an overview of the functions and structure of their organization. Unique situations or specific problem areas may be identified requiring a heavier concentration of effort in these areas and an altering of the proposed itinerary.

**11-6 Evaluation process**

A considerable amount of time will inevitably be spent in addressing unforeseen problem areas or issues surfaced during the visit. The effectiveness of the following program operations is essential and must be addressed as a minimum:

*a. General.*

(1) Supplementation of DA directives and other published or written guidance affecting program elements.

(2) Training program(s) for both the headquarters and major subordinate commands.

(3) Periodic internal command-wide evaluation of the records management programs relating to the identification of record information, maintenance and use, and records disposition.

*b. Recordkeeping systems management.*

(1) ARIMS web tools, including registration and approved ORLs.

(2) Identification of records (all media) under ARIMS.

(3) Records transfer procedures.

(4) Records holding area operations.

(5) AEA.

*c. Correspondence management.*

(1) Application of AR 25-50, Preparing and Managing Correspondence.

(2) Measures taken within the organization to supervise and manage correspondence.

(3) Delegation of authority or authority line.

*d. Official mail and distribution program management.*

(1) Application of AR 25-51, Official Mail and Distribution Management.

- 93  
94 (2) Local directives establishing the mail management program.  
95  
96 (3) Official Mail Manager appointments and Official Mail and Distribution Centers  
97 (OMDC) security clearances prescribed in AR 25-51.  
98  
99 (4) Procedures to reduce postage cost for official mail.  
100  
101 (5) Annual inspection of OMDCs.  
102  
103 *e. Privacy Act (PA)*  
104  
105 (1) Privacy Act program.  
106  
107 (2) Privacy Act Officer appointments.  
108  
109 (3) Processing PA requests.  
110  
111 (4) Procedures for submitting newly altered and/or amended systems of records notices.  
112  
113 (5) PA electronic systems.  
114  
115 (6) Forms requesting personal information.  
116  
117 (7) Adequacy of Privacy Act training.  
118  
119 (8) Responsibilities of personnel to protect personal information being collected.  
120  
121 (9) Adequacy of maintaining records for PA Program reporting requirements.  
122  
123 *f. Freedom of Information Act (FOIA)*  
124  
125 (1) FOIA program.  
126  
127 (2) FOIA Officer appointments.  
128  
129 (3) Required response times for FOIA/PA requests and appeals.  
130  
131 (4) Recordkeeping practices for annual reporting procedures (for example, Freedom of  
132 Information and Privacy Acts Case Tracking System (FACTS) requirement).  
133  
134 (5) Appropriate handling of responses that deny any or all requested records/documents.  
135  
136 (a) Advise requester of appeal rights.  
137  
138 (b) Appropriate use of exemptions.

(c) Proper use of "No Records Certificate."

(d) Ensure proper referral to initial denial authority for denials.

(6) Collection of fees.

(7) Adequacy of FOIA training.

(8) Identify compliance with Reading Room requirements.

*g. Information technology systems and storage media.* Review plans and actions to implement the use of document imagery and electronic record systems to manage information.

#### **11-7. Exit briefing**

Brief the Commander or designated representative. Normally, individuals of the organization who are responsible for administering the program areas evaluated also attend the exit briefing. Address general and specific findings that will be included in the written report - there should be no surprises.

#### **11-8. Written report of findings and recommendations**

*a.* Submit a written report to the first level of supervision within 7 working days after traveler returns to duty. The report should include a trip report and memo forwarding a report of findings and recommendations to the organization visited.

*b.* Forward a report of findings and recommendation to the organization visited NLT 12 working days after return to duty.

*c.* Address the report to the "Commander" or head of the organization visited.

*d.* For reports of Joint and Unified Commands, also forward a copy to: Office Secretary of Defense Records Administrator, Suite 501, Crystal Gateway North, 1111 Jefferson Davis Highway, Arlington, VA 22202.

*e.* Forward a copy of corrective action(s) taken by the organization to the Survey Team Leader.

#### **11-9. Evaluation form**

The evaluation form attached at Appendix C shall be used in evaluating the different components of the records management program. This evaluation form has been staffed with all the component programs under the records management program.

## **Chapter 12**

### **Contingency Operation (CONOP) Record Collection and Preservation**

#### **12-1. Background.**

*a.* Recordkeeping requirements during a CONOP are governed by the same laws and regulations as recordkeeping during peacetime or while in garrison. However, the nature of a CONOP makes good recordkeeping even more critical. Without properly documenting contingency operations, the Army, as an institution, risks losing important portions of its history, can lose the ability to formulate “lessons learned” and most importantly can fail to protect the rights and interests of the individual Soldiers and civilians deployed.

*b.* Missing records during Operation Desert Storm resulted in Army spending millions of dollars for record reconstruction. This record reconstruction was to try and pinpoint unit/individual locations during specific times during the conflict. The information was used to substantiate claims for and to try and determine the cause of “Gulf War Syndrome” suffered by many deployed Soldiers.

#### **12-2. Responsibilities.**

*a.* AR 25-1, Paragraph 2-12(i) states “The Deputy Chief of Staff, G-3 will: Ensure that support is included in Army operational planning documents for the collection and transfer of records created by deployed units in contingency operations per AR 25-400-2”.

*b.* AR 25-1, Paragraph 2-24g states “Commanders of the Army Component Combatant Commands will: Integrate records management support into operational plans for the collection and transfer of records created by deployed units in contingency operations per AR 25-400-2.”

*c.* AR 25-400-2, Paragraph 1-4f. Responsibilities, states “ Commanders of Army Components operating under a joint command will ensure, through a designated contact, that records are created and preserved throughout the Army component in accordance with the records procedures in paragraph 1-7f. The designated contact will establish the processes for the collection and transfer of unit records.

*d.* AR 25-400-2, Paragraph 1-7f states “Records created by deployed units in CONOPS are collected monthly and sent to designated transfer locations as directed by a pre-positioned message from the Pentagon Army Operations Center. Deployed units will be provided copies of the Quick Reference guide outlining requirements for specific and minimum records creation, preservation, collection and transfer.

*e.* A reminder of these responsibilities is dispatched via message from the Army Operations Center (AOC) at the beginning of a CONOP (see Figure 12-1, AOC Message: Army Recordkeeping for Operation Enduring Freedom).

**12-3. Collection Guidance.** Procedures and processes for collecting records during a CONOP are the combatant commander’s responsibility and generally left to their direction. However, for

guidance purposes, the following procedures have been extracted from the successful collection processes used by US Army, Europe (USAREUR) for records created during the operations in Bosnia and Kosovo. In that Area of Responsibility (AOR), the combatant commanders realized the importance of documenting operations. They supported and directed the effort through all staff elements and through the ranks, down to the unit level. For the purposes of this DA Pam, the USAREUR guidance has been modified to provide recommended procedures for all CONOPS records collection and preservation. To ensure records from the AOR are collected and properly prepared for transfer to CONUS facilities, resources should be provided to create a records holding/staging area within the AOR. This area should be staffed and equipped to process both electronic and hard copy records received from units down range.

*a.* Commanders of units down to separate company level that are deployed in CONOPS will manage and supervise operational recordkeeping systems in their commands. These commanders will-

(1) Develop supporting plans for maintaining and transferring operational records according to this DA Pam.

(2) Appoint operational records coordinators (RCs) to carry out the CONOP recordkeeping requirements.

(3) Maintain a daily staff journal or duty officer's log (DA Form 1594) during CONOPS according to AR 220-15.

(4) Ensure that their operational records are transferred each month according to paragraph d(5) below and the instructions provided by this DA Pam. Commanders will also ensure that operational records of subordinate activities assigned or attached to their commands during the operation are included in the unit's monthly submissions.

(5) Ensure remaining records are transferred after the CONOPS mission is completed.

(6) When different units rotate in and out of the same area of the operation, the outgoing unit will thoroughly brief the incoming unit on its records collection and transfer processes before the transfer of authority.

*b.* The requirement applies to all forms of unit-generated records, whether produced on paper or in electronic format (e-mail, diskette, posted on websites, compact disk (CD)). The most common unit-generated operational records include commanders' assessments, daily staff journals, Fragmentary Orders (FRAGOs), intelligence reports, operation plans (OPLANs), operation orders (OPORDs), personnel and logistics reports, serious incident reports, situation reports (SITREPs), spot reports, and reports generated to describe the occurrence of a particular event. Medical records will be collected and preserved through these procedures only if the situation does not allow for their return through existing procedures for turning in medical records.

c. Table 12-1 below lists some of the most common types of operational records. At Appendix D, is the ARMDA Quick Reference Guide (QRG) to Documenting Operations for Deployed units of the Army. The QRG provides additional records to the list below and also provides specific guidance on where to send these records.

| <b>Table 12-1<br/>Operational Records*</b>  |                      |   |                                  |
|---|----------------------|---|----------------------------------|
| <b>Functional Area Requirement</b>  | <b>Record Number</b> | <b>Description</b>  | <b>Prescribing Publication**</b> |
| Army information  | 360-5b               | News media and releases   | AR 360-1                         |
|   | 360-5d               | Public inquires   | AR 360-1                         |
| Field organizations   | 220-15a1             | Daily journal, staff journal, and tactical operations center (TOC) logs | AR 220-15                        |
| Medical services  | 40-5d                | Command health reports  | AR 40-5                          |
|   | 200-1c               | Hazardous material management files                                     | AR 200-1                         |
| Military operations   | 525a1                | Command reports   | AR 525-1                         |
|   | 525a1                | Commander's assessment reports  | AR 525-1                         |
|   | 525a1                | SITREPs   | AR 525-1                         |
|   | 525a1                | Spot reports  | AR 525-1                         |
|   | 525a1                | Daily, weekly, and monthly status reports                               | AR 525-1                         |
|   | 525n1                | Operations planning files and OPLANs                                    | AR 525-1                         |
|   | 525p1                | Operating procedures files  | AR 525-1                         |
|   | 525p1                | OPORDs  | AR 525-1                         |
|   | 525p1                | FRAGOs  | AR 525-1                         |
|   | 525p1                | Warning orders (WARNOs)   | AR 525-1                         |
| Personnel   | 600-8b               | Personnel information system reports                                    | AR 600-8                         |
| Safety  | 385-10f              | Accident and incident cases   | AR 385-10                        |
|   | 11-9i                | Radiation reports   | AR 11-9                          |
|   | 11-9j                | Radiation incident cases  | AR 11-9                          |
| Security  | 381-3a               | Military intelligence operational management files                      |                                  |
| <p>*This table does not list all files that units should maintain. Files not listed in this table that document unit activities will also be preserved.</p> <p>**Prescribing Publications:<br/>           Defense Intelligence Agency Manual 58-13, (S/NOFORN) Defense Human Resources Intelligence Collection Procedures (U)<br/>           AR 11-9, The Army Radiation Safety Program<br/>           AR 25-1, Army Knowledge Management and Information Technology Management<br/>           AR 25-400-2, Army Record Information Management System<br/>           AR 40-5, Preventive Medicine<br/>           AR 200-1, Environmental Protection and Enhancement<br/>           AR 220-15, Journals and Journal Files<br/>           AR 360-1, The Army Public Affairs Program<br/>           AR 385-10, The Army Safety Program<br/>           AR 525-1, The Department of the Army Command and Control System (DACCS)<br/>           AR 600-8, Military Personnel Management</p> |                      |   |                                  |

d. Procedures:

(1) *General.*

(a) This DA Pam provides guidance and procedures for collecting, preparing, transferring, and preserving operational records. To avoid loss or destruction of these documents, operational records will be transferred each month.

(b) Designated RCs for each unit are responsible for collecting, preparing, and transferring records. Unit RCs will transfer records each month. The closing date for records preparation is the last calendar day of the month. Records should be transferred within 7 days after the closing date.

(c) Submitting records electronically is encouraged. Most records a unit creates are in electronic format and can be transferred for storage to the ARMDA office in the ARIMS electronic archive. Units can store the records on diskettes, zip-disks, or CDs and mail them to ARMDA, or they can forward them to ARMDA as attachments and zip-file attachments to e-mail messages. Mailing instructions and e-mail addresses are provided in subparagraph 12-3d(5) below.

(2) *Identifying Records.* Operational records are documents that record the location and activities of units and Soldiers involved in CONOPS. AR 220-15 requires that DA Form 1594, Daily Staff Journal or Duty Officer's Log, be maintained when units are deployed to support a CONOPS mission. DA Form 1594 may be provided in electronic or paper format. Other unit-generated records in electronic or paper format will be included with the unit's monthly submission.

### (3) *Collecting Records.*

(a) Operational RCs receive records from subordinate activities and prepare them for transfer to designated repositories.

(b) Original records are required for records in paper format. The unit should keep a copy of every record required for future operations. Units will not give information-gathering activities, such as history and lessons-learned detachments, original record copies. If appropriate, these activities should be provided a copy.

### (4) *Preparing Records.*

(a) Electronic records transferred by diskette, zip-disk, or CD should be packed in small boxes or envelopes according to official mail instructions.

(b) Paper records should be packed in official record containers (national stock number 8115-00-117-8249). If official record containers are not readily available, units may use a box or envelope.

(c) Unit RCs will document shipments using SF 135 or DA Form 3964 (for classified shipments) as appropriate. The originator of the records will keep one copy of the shipping document and put one copy in the record container. RCs are responsible for completing the SF 135 and forwarding it with the records. The SF 135 will be completed and forwarded according

to AR 25-400-2 and the following instructions. See Figure 12-2. Sample SF 135 for transferring CONOP Records. SF 135s are available as fillable forms in both .pdf and .doc (MS Word) formats on the NARA website at <http://www.archives.gov/frc/forms/sf-135-intro.html>. If it is impossible to create an SF 135, a plain sheet of paper can be used (legibly handwritten or typed). However, the same information required on the SF 135 should be placed on the plain sheet of paper.

1 *Item 1.* Enter the address of the designated collection point. See Appendix D, TAG Quick Reference Guide.

2 *Item 2.* Enter the name of the organization RC.

3 *Item 3.* Enter the name and telephone number of the RC.

4 *Item 4.* Leave blank.

5 *Item 5.* Enter the full unit address and include the unit identification code (UIC), name of the task force and the operation.

(d) Electronic records transferred on diskettes, zip-disks, CDs, and other formats for transferring electronic records will be labeled with the unit name, type of records, month and year, and software application (for example, 1/99 Inf Bn, Daily SITREPs, Feb 03, Microsoft Word 00). The corresponding SF 135 should also describe the software and the version.

(e) Records will be separated and shipped according to subparagraph (5) below.

(5) Transferring Records. There are a number of designated collection points for specific types of records. See the ARMDA Quick Reference Guide at Appendix C for address information on each specific collection point.

(a) Electronic records may be transferred as e-mail attachments to the following e-mail addresses, as applicable:

1 Unclassified Records: [conops@arims.army.mil](mailto:conops@arims.army.mil)

2 Classified Records: [conops@arims.army.smil.mil](mailto:conops@arims.army.smil.mil)

(b) Hard-copy records (paper, maps, overlays, microfiche, microfilm, etc) and electronic records on electronic media (diskettes, zip-disks, CDs, etc.) may be mailed through the military postal system (MPS).

(c) Classified records, hard-copy or electronic that are to be shipped, will be sent by registered DOD official mail according to the instructions for handling classified material in AR 380-5.



193 (d) Many organizations communicate and pass record information through web  
194 information centers (WICs). In the WIC environment, very few paper records or records on  
195 removable media (diskettes, CD) exist.

196  
197 1 Record information posted on a WIC must be captured and preserved routinely;  
198 however, the collection process must not place an additional burden on the owning unit. To  
199 prevent this burden, webmasters should incorporate collection and preservation procedures to  
200 these websites as they are built. For instance, copies of SITREPS, OPORDS, FRAGOS, etc.  
201 posted on these sites should be automatically saved to a separate drive/directory. The records on  
202 these drives/directories would then be transmitted (or downloaded and mailed on media) to the  
203 appropriate collection point for preservation on a regularly scheduled (monthly) basis.

204  
205 2 Organization information management officers (G-6s, S-6s, and area support  
206 group directors of information management) will coordinate directly with G-3/S-3 and G-2/S-2  
207 to establish the procedures for the monthly collection of record information.

208  
209 **12-4. Unit Assistance.** Units that have questions about this chapter of the DA Pam may call  
210 ARMDA at DSN 328-6298 or contact via NIPRnet at [info@rmda.belvoir.army.mil](mailto:info@rmda.belvoir.army.mil) or SIPRnet  
211 at [info@rmda.belvoir.army.smil.mil](mailto:info@rmda.belvoir.army.smil.mil). Further information on recordkeeping can be found at the  
212 ARMDA website at <https://www2.arims.army.mil/rmdaxml/> or the ARIMS website at  
213 [www.arims.army.mil](http://www.arims.army.mil).

153 11:51:36 ERR No profile hits found for this message  
PTTUZYUW RUEADWD4861 1531515-UUUU--RUERSOC.  
ZNR UUUUU  
P R 021315Z JUN 02  
FM DA WASHINGTON DC//DAMO-AOC-CAT//  
TO RUEOEGA/CDRARCENT KUWAIT DOHA KU  
RHMFIUU/CDRARCENT KUWAIT DOHA KU  
RUEADWD/DA WASHINGTON DC//DAMO-AOC-CAT//  
INFO RUEADWD/DA WASHINGTON DC//DACSZD/SAIS-ZA/DAMH-ZB/DAPE-ZA/DAMI-C  
H/TAPC-PDR/DAPE-PRO-PCC//  
RUEAUSA/CDRUSAVIC WASHINGTON DC//DAM-OPV-CD//  
RUEKJCS/JOINT STAFF WASHINGTON DC//SJS/IMD/RMS//  
RUFDAAU/CDRUSAREUR HEIDELBERG GE//AEACG//  
RUEASRB/CDRFORSCOM FT MCPHERSON GA//FCCS//  
RUERSOC/CDRUSASOC FP FT BRAGG NC//SOCS//  
RUDHAAA/CDRUSAINSCOM FT BELVOIR VA//IAIM-RP//  
RUCJACC/USCENTCOM MACDILL AFB FL//COS//  
BT  
UNCLAS  
SUBJ:ARMY RECORD KEEPING FOR OPERATION ENDURING FREEDOM  
A. REF AR 25-1, ARMY INFORMATION RESOURCES MANAGEMENT PROGRAM, 15  
FEB 00, PARA 8-4C.  
B. REF AR 25-400-2, THE MODERN ARMY RECORDKEEPING SYSTEM, 1 OCT 00,  
C. REF AR 220-15, JOURNAL AND JOURNAL FILES, 1 DEC 83, PARA 4B AND  
PARA 7.  
D. REF TAG QUICK REFERENCE GUIDE (QRG), DOCUMENTING OPERATIONS FOR  
DEPLOYED UNITS.  
E. REF AR 40-66, MEDICAL RECORD AND HEALTH CARE DOCUMENTATION, 3 MAY  
99, PARA 5-30.  
F. REF AR 40-400, PATIENT ADMINISTRATION, 12 MAR 01, PARA 3-17.  
G. REF AR 380-5, DA INFORMATION SECURITY PROGRAM, 29 SEP 00, CHAPTER  
2, SECTION IV AND CHAPTER 3, SECTION I, PARA 1.  
1. OPERATION ENDURING FREEDOM HAS BEEN DECLARED A CONTINGENCY  
OPERATION AND ALL RECORDS ASSOCIATED WITH OPERATION ENDURING FREEDOM  
ARE PERMANENT PROPERTY OF THE U.S. GOVERNMENT. THE PURPOSE OF THIS  
MESSAGE IS TO ENSURE THAT PROPER DOCUMENTATION IS CREATED AND  
PRESERVED. ONE OF THE LESSONS LEARNED FROM OPERATION DESERT  
STORM/SHIELD WAS THE ARMY'S FAILURE TO COLLECT OPERATIONAL LOGS AND  
DOCUMENTS. THIS HAS A DIRECT IMPACT ON THE RIGHTS AND INTERESTS OF  
SOLDIERS AND OPERATIONAL PLANNING.  
2. THE COMMANDER OF THE ARMY COMPONENT OPERATING UNDER A JOINT,  
SPECIFIED OR UNIFIED COMMAND WILL ENSURE THROUGH A DESIGNATED  
COMPONENT IN ACCORDANCE WITH ARMY RECORDS PROCEDURES.  
3. THE COMMANDER, US ARMY FORCES CENTRAL COMMAND (ARCENT) WILL  
DESIGNATE A SINGLE POC NLT 15 JUN 02, AND PROVIDE THAT NAME AND  
ADDRESS TO THE U.S. ARMY RECORDS MANAGEMENT AND DECLASSIFICATION  
AGENCY (RMDA) AT INFO@RMDA.BELVOIR.ARMY.MIL. THE POC WILL  
ESTABLISH THE PROCESSES FOR THE COLLECTION AND TRANSFER OF UNIT  
RECORDS. RMDA WILL SEND THE TAG QUICK REFERENCE GUIDE (QRG),  
DOCUMENTING OPERATIONS FOR DEPLOYED UNITS (REF D), TO THE POC FOR  
DISTRIBUTION ASAP AFTER IDENTIFICATION. EACH SEPARATE COMPANY AND  
ABOVE WILL DESIGNATE A POC AND FORWARD THAT NAME AND ADDRESS THROUGH  
THEIR CHAIN OF COMMAND TO THE SINGLE POC DESIGNATED IN ACCORDANCE  
WITH THE INSTRUCTION AT THE START OF THIS PARAGRAPH NLT 30 DAYS  
AFTER DATE OF THIS MESSAGE FOR OPERATION ENDURING FREEDOM - 30 JUN  
02. MILITARY INTELLIGENCE UNITS WILL PROVIDE POC TO MS. STANTON, AT

Figure 12-1. Army Operations Center (AOC) Message: Army Recordkeeping for Operation Enduring Freedom

LASTANT2@VULCAN.BELVOIR.ARMY.MIL NLT - 15 JUN 02.

4. THIS MESSAGE APPLIES TO ALL RECORDS REGARDLESS OF MEDIA, E.G., PAPER, COMPUTER DISKS AND TAPES, MICROFORM, PHOTOGRAPHIC FILM, E-MAIL AND OTHER ELECTRONIC FORMATS. ELECTRONIC RECORDS (RECEIVED OR TRANSMITTED) WILL BE PROVIDED IN THE FORMAT IN WHICH THEY WERE CONOPS@ARIMS.ARMY.MIL. OTHER UNCLASSIFIED ELECTRONIC RECORDS MAY BE ATTACHED TO AN E-MAIL AND SENT TO THE SAME ADDRESS. PUT OPERATION ENDURING FREEDOM IN THE SUBJECT LINE. CLASSIFIED ELECTRONIC RECORDS WILL BE SENT VIA SIPRNET; CONTACT INFO@RMDA.BELVOIR.ARMY.MIL FOR TRANSMISSION COORDINATION. CLASSIFIED E-MAIL WILL BE COPIED TO AND PROVIDED ON ELECTRONIC MEDIA ALONG WITH OTHER CLASSIFIED ELECTRONIC RECORDS. DO NOT MIX CLASSIFIED AND UNCLASSIFIED RECORDS ON ELECTRONIC MEDIA.

5. UNITS, SEPARATE COMPANIES AND HIGHER, WILL SEND DAILY OPERATION TOC DUTY LOGS (DA FORM 1594, DAILY STAFF JOURNAL OR DUTY OFFICER'S LOG) IN PAPER OR ELECTRONIC FORMAT ON A MONTHLY BASIS BEGINNING 15 JUL 02. RECORDS WILL BE ACCEPTED IN ANY FORM: PAPER COPIES, FLOPPY DISKS, CD, ETC. NORMAL MARKS PROCESSING (AR 25-400-2) IS CANCELLED IN AN EFFORT TO EASE THE PROCESS. SEND PAPER LOGS TO THE U.S. ARMY RECORDS MANAGEMENT AND DECLASSIFICATION AGENCY, RECORDS RESEARCH DIVISION (TAPC-PDD-U), 7798 CISSNA ROAD, SUITE 101, SPRINGFIELD, VA 22150-3197 UNTIL FURTHER ADVISED. ELECTRONIC LOGS CAN BE SENT BY CONTACTING INFO@RMDA.BELVOIR.ARMY.MIL TO ESTABLISH SIPRNET COORDINATION. US ARMY SPECIAL OPERATIONS COMMAND IS AUTHORIZED, AS UNITS WILL ENSURE THAT THE HEADINGS ARE FILLED OUT ON THE LOGS AND A SIMPLE COVER SHEET (HANDWRITTEN, TYPED OR ELECTRONIC NOTE) IS INCLUDED INDICATING THE UNIT'S UIC, INCLUSIVE DATES OF THE LOGS AND SUBJECT (E.G., DAILY JOURNALS). SECRET HARDCOPY RECORDS AND THOSE SECRET RECORDS CONTAINED ON REMOVABLE ELECTRONIC MEDIA MAY BE SENT REGISTERED US (APO/FPO) MAIL.

6. SEND OTHER HARDCOPY OR ELECTRONIC OPERATIONAL RECORDS TO THE ADDRESS IN PARA 4 OR 5 AS APPLICABLE, INCLUDING COMMAND REPORTS, SITREPS, OPREPS, OPSUMS, MAPS, OVERLAYS, ACCIDENT AND INCIDENT REPORTS, NEWS AND MEDIA RELEASES, OPLANS AND OPORDS, TDY ORDERS, AGREEMENTS, IG REPORTS, CASE FILES, NUCLEAR CHEMICAL OR BIOLOGICAL INCIDENTS OR ACCIDENT REPORTS, ABSENTEE CASES, ORGANIZATIONAL HISTORY FILES, PASSENGER FILES, PASSENGER MANIFESTS, CLINIC LOGS AND COMMAND HEALTH REPORTS, AND ANY OTHER RECORDS THAT DOCUMENT OPERATIONS.

7. FORWARD THE FOLLOWING MILITARY INTELLIGENCE RECORDS TO CDR, U.S. ARMY INTELLIGENCE AND SECURITY COMMAND RECORDS CENTER, ATTN: IAIM-RP-R, 8825 BEULAH STREET, FORT BELVOIR, VA 22060-5246: MILITARY INTELLIGENCE OPERATIONAL FILES AND REPORTS, NON-OPERATIONAL FILES TECHNICAL INTELLIGENCE PRODUCTS, CAPTURED INFORMATION, AND INTELLIGENCE COLLECTION RECORDS.

8. FORWARD THE FOLLOWING RECORDS TO CDR, 902D MI GP, INVESTIGATIVE RECORDS REPOSITORY, ATTN: IAMG-C-IRR, 4552 PIKE ROAD, FT. MEADE, MD 20755-5995: INTELLIGENCE/COUNTERINTELLIGENCE SOURCES, COUNTERINTELLIGENCE COLLECTION FILES, FOREIGN PERSONNEL AND ORGANIZATION FILES, U.S. POW/MIA DETAINEE INTELLIGENCE, COUNTERINTELLIGENCE SPECIAL OPERATIONS RECORDS.

9. MEDICAL RECORDS. UNITS PROVIDING MEDICAL CARE WILL TRANSMIT RECORDS IN ACCORDANCE WITH ARMY REGULATION 40-66 (MEDICAL RECORD AND HEALTH CARE DOCUMENTATION, REF E), HQDA LTR 40-01-1 AND AR 25-400-2 (THE MODERN ARMY RECORDKEEPING SYSTEM, REF B) AS FOLLOWS: MILITARY INPATIENT TREATMENT RECORDS - NON-FIXED MEDICAL FACILITIES WILL

Figure 12-1. Army Operations Center (AOC) message: Army Recordkeeping for Operation Enduring Freedom - Continued

FORWARD MONTHLY COMPLETED INPATIENT TREATMENT RECORDS ON ALL PATIENTS DISCHARGED DURING THE MONTH TO NATIONAL PERSONNEL RECORDS CENTER, 9700 PAGE BOULEVARD, ST. LOUIS, MO 63132.

10. CIVILIAN INPATIENT TREATMENT RECORDS. NON-FIXED FACILITIES WILL FORWARD MONTHLY COMPLETED RECORDS ON ALL PATIENTS DISCHARGED DURING THE MONTH TO THE NATIONAL PERSONNEL RECORDS CENTER, 111 WINNEBAGO PAGE 07 RUEADWD4861 UNCLAS

11. NATO PERSONNEL INPATIENT TREATMENT RECORDS. AFTER FINAL DISCHARGE, FORWARD THE COMPLETED INPATIENT TREATMENT RECORD TO THE APPROPRIATE NATIONAL MILITARY MEDICAL AUTHORITY LISTED IN AR 40-66, (REF E) TABLE 9-1.

12. FOREIGN NATIONAL INPATIENT TREATMENT RECORDS. FORWARD MONTHLY COMPLETED INPATIENT TREATMENT RECORDS TO NATIONAL PERSONNEL RECORDS CENTER, 9700 PAGE AVENUE, ST. LOUIS, MO 63132.

13. MILITARY OUTPATIENT TREATMENT RECORDS. HEALTH RECORDS/OUTPATIENT TREATMENT RECORDS (DA FORM 3444-SERIES AND DA FORM 8005-SERIES) DO NOT ACCOMPANY DEPLOYED MILITARY MEMBERS. INSTEAD, FILE FOLDERS KNOWN AS DD FORM 2766 (ADULT PREVENTIVE AND CHRONIC CARE FLOWSHEET) WILL BE SENT TO COLLECT RECORDS DOCUMENTING OUTPATIENT CARE. COMMANDER OF THE MEDICAL UNITS IN CONTINGENCY'S AREA OF RESPONSIBILITY WILL COORDINATE WITH SUPPORTED MILITARY UNITS TO ASSURE THAT DD FORM 2766'S ARE INTEGRATED WITH THE SOLDIERS' HEALTH RECORDS UPON RETURN TO HOME STATION. SEE HQDA LTR 40-01-1 (ADULT PREVENTIVE AND CHRONIC CARE FLOWSHEET), PUBLISHED 26 MAR 99.

14. FOREIGN NATIONAL OUTPATIENT TREATMENT RECORDS. FORWARD MONTHLY TO NATIONAL PERSONNEL RECORDS CENTER, 9700 PAGE BOULEVARD, ST. LOUIS, MO 63132.

15. FORWARD ALL STILL IMAGERY, VIDEO AND AUDIO RECORDINGS, INCLUDING THOSE MADE BY COMBAT CAMERA UNITS AND PUBLIC AFFAIRS UNITS, TO DIRECTOR, U.S. ARMY VISUAL INFORMATION CENTER, ATTN: JDHQS-AV-E-L, ROOM 1A256, 3001 ARMY PENTAGON, WASHINGTON, DC 20310-3001. SUCH RECORDINGS INCLUDE VIDEOTAPES, STILL AND DIGITAL PHOTOGRAPHS, ILLUSTRATIONS, AND AUDIOTAPES. ASSIGN EACH IMAGE, VIDEO SCENE, OR RECORDING A VISUAL INFORMATION RECORD IDENTIFICATION NUMBER (VIRIN) CONSISTING OF THE FOLLOWING FOUR ELEMENTS, EACH SEPARATED BY A DASH: (A) THE YEAR, MONTH, AND DAY (YYMMDD) THE IMAGE IS ACQUIRED OR ORIGINATED, (B) THE LETTER "A" - DESIGNATING THAT THE IMAGE/AUDIO RECORDS WERE MADE BY AN ARMY SERVICE MEMBER, (C) THE LAST FOUR NUMBERS OF THE PHOTO/VIDEO GRAPHER/ILLUSTRATOR'S SOCIAL SECURITY NUMBER PLUS THE FIRST INITIAL OF THEIR LAST NAME, (D) A THREE DIGIT SEQUENTIAL NUMBER STARTING WITH 001 TO ACCOUNT FOR THE TOTAL NUMBER OF IMAGES/VIDEO SHOT IN A GIVEN DAY BY AN INDIVIDUAL. EACH IMAGE/SCENE MUST BE ACCOMPANIED BY A WRITTEN CAPTION DESCRIBING WHO, WHAT, WHERE, WHEN, AND WHY THE IMAGE WAS ACQUIRED. CAPTIONS MUST ALSO INCLUDE THE PHOTO/VIDEO GRAPHER/ILLUSTRATOR'S NAME, UNIT, SHOOTING LOCATION, AND EXERCISE NAME. TO FACILITATE IMAGERY IDENTIFICATION, PHOTO/VIDEO GRAPHERS SHOULD SHOOT A 3X5 CARD TO DIFFERENTIATE BETWEEN INDIVIDUAL SCENES. THIS CARD SHALL CONTAIN THE FOLLOWING INFORMATION: PHOTO/VIDEO GRAPHER'S NAME, RANK, VIRIN, DATE, EXERCISE NAME, AND SHOOTING LOCATION.

16. PROCESS PERSONNEL RECORDS IAW AR 600-8-104 AND OTHER ASSOCIATED DIRECTIVES. DOCUMENTS FOR FILE IN THE MPRJ, MPF (ACTIVE OFFICERS), AND OMPF MUST BE FORWARDED FOR FILING IAW AR 600-8-104.

17. COMMANDERS WHO NEED TO RETAIN RECORDS IN ORDER TO MEET OPERATIONAL REQUIREMENTS SHOULD CONSIDER KEEPING COPIES AND RELEASING THE ORIGINAL AS PRESCRIBED ABOVE. IN THOSE INSTANCES

Figure 12-1. Army Operations Center (AOC) message: Army Recordkeeping for Operation Enduring Freedom - Continued

WHERE COPYING IS INAPPROPRIATE OR UNAVAILABLE, COMMANDERS MAY, ON A LIMITED BASIS, WITHHOLD RECORDS UNTIL NO LONGER NEEDED. HOWEVER, IN SUCH INSTANCES COMMANDERS WILL SUBMIT A LIST OF THE RECORDS THAT ARE WITHHELD FROM THE NORMAL MONTHLY SUBMISSION, ALONG WITH THE RATIONALE FOR WITHHOLDING SUCH SUBMISSION TO:

INFO@RMDA.BELVOIR.ARMY.MIL. ALL RECORDS MUST BE SUBMITTED UPON REDEPLOYMENT.

18. CONTACT INFO@RMDA.BELVOIR.ARMY.MIL FOR ASSISTANCE. UPON SUBMISSION, RECORDS WILL BE MADE AVAILABLE FOR LATER REFERENCE.

19. IAW AR 380-5, DA INFORMATION SECURITY PROGRAM, REF G, CHAP 3, SEC I, PARA 1, DECLASSIFY ALL RECORDS AS SOON AS POSSIBLE.

SUBMISSIONS THAT CONTAIN CLASSIFIED RECORDS MUST INCLUDE A DECLASSIFICATION GUIDE IAW AR 380-5, DA INFORMATION SECURITY PROGRAM, REF G, CHAP 2, SEC IV. BEFORE SUBMITTING RECORDS SPECAT OR TS, CONTACT INFO@RMDA.BELVOIR.ARMY.MIL.

20. FROM TIME TO TIME ORGANIZATIONS SUCH AS THE CENTER FOR ARMY LESSONS LEARNED AND MILITARY HISTORY DETACHMENTS WILL VISIT DEPLOYED UNITS TO COLLECT COPIES OF RECORDS. GIVE THEM COPIES; DO NOT GIVE THESE ORGANIZATIONS THE RECORD COPY OF INFORMATION TO BE PRESERVED. HANDLE THE RECORD COPY IN ACCORDANCE WITH THESE INSTRUCTIONS.

21. POC FOR THIS MESSAGE IS MR. GREENHALGH, US ARMY RECORDS MANAGEMENT AND DECLASSIFICATION AGENCY, DSN 656-3258; E-MAIL HOWARD.GREENHALGH@RMDA.BELVOIR.ARMY.MIL. POC FOR ARMY RECORDS MANAGEMENT IS MS. LIGHT, TAPC-PDD-RR, DSN 656-3556, E-MAIL KANDY.LIGHT@RMDA.BELVOIR.ARMY.MIL. POC FOR MI RECORDS IS MS. STANTON, HQ, INSCOM, DSN 235-1206, E-MAIL LASTANT2@VULCAN.BELVOIR.ARMY.MIL. POC FOR MEDICAL RECORDS IS MS. FOLEY, OTSG, DSN 761-3109, E-MAIL TERESA.FOLEY@OTSG.AMEDD.ARMY.MIL. POC FOR VISUAL INFORMATION RECORDS IS MR. O'SHAUGHNESSY, JDHQS-AV-E-L, DSN 225-6934, E-MAIL THOMAS.OSHAUGHNESSY@HQDA.ARMY.MIL, OR MS. EWINGS, EMAIL LINNEA.EWINGS@HQDA.ARMY.MIL.

Figure 12-1. Army Operations Center (AOC) message: Army Recordkeeping for Operation Enduring Freedom - Continued

## **Appendix A**

### **References**

#### **Section I**

##### **Required Publications**

###### **AR 25-1**

Army Knowledge Management and Information Technology Management. (Cited in paras 1-6d(2), 3-12, 3-14c, 7-5i, 11-1a, 11-3, 12-2a and b, and app C-1).

###### **AR 25-400-2**

The Army Records Information Management System (ARIMS). (Cited in summary, paras 1-1, 1-4, 1-6d(1), 1-6e(2), 1-8a, 2-12b, 3-15b, 3-15f(3), 3-20b(3), 3-23d, 6-7d, 7-6c, 10-1b, 10-5, 10-6a, 12-2a, b, c and d, 12-3c(4)(c), 3-20b(3), 3-23d, and app C-1, C-3.)

###### **AR 340-21**

The Army Privacy Program. (Cited in paras 1-4, 1-6c, and 1-6c(b) and App C-1.)

###### **AR 380-5**

Department of the Army Information Security Program. (Cited in paras) 3-4c, 3-6b and c, 7-6a, b, and c, 9-2c and 12-3d(5)(c)).

###### **AR 500-3**

Army Continuity of Operations (COOP) Program. (Cited in para 2-4a.)

###### **AR 550-51**

International Agreements. (Cited in para 1-7b(1).)

###### **DA Pam 25-51**

The Army Privacy Program-system of Records Notices and Exemption Rules. (Cited in paras 3-5d and 7-5e.)

###### **DOD 5015.2-STD**

Design Criteria Standard for Electronic Records Management Software Applications. (Cited in paras 3-21c, 3-21c(1), 7-4b(3), App C-1.) (Available at [www.dtic.mil/whs/directives](http://www.dtic.mil/whs/directives).)

#### **Section II**

##### **Related Publications**

A related publication is a source of additional information. The user does not have to read it to understand this publication.

###### **AR 25-30**

The Army Publishing Program.

|    |   |
|----|---|
| 47 |   |
| 48 | <b>AR 25-50</b>   |
| 49 | Preparing and Managing Correspondence   |
| 50 |   |
| 51 | <b>AR 25-51</b>   |
| 52 | Official Mail and Distribution Management   |
| 53 |   |
| 54 | <b>AR 25-55</b>   |
| 55 | The Department of Army Freedom of Information Act Program.  |
| 56 |   |
| 57 | <b>AR 220-15</b>  |
| 58 | Journals and Journal Files  |
| 59 |   |
| 60 | <b>AR 335-15</b>  |
| 61 | Management Information Control System   |
| 62 |   |
| 63 | <b>DA Pam 25-30</b>   |
| 64 | Consolidated Index of Army Publications and Blank Forms. (All Army Regulations,                                       |
| 65 | Army Pamphlets, Engineer Regulations, and other Army publications associated with                                     |
| 66 | the record title and numbers listed in this pamphlet.)  |
| 67 |   |
| 68 | <b>DA Pam 25-91</b>   |
| 69 | Visual Information Procedures   |
| 70 |   |
| 71 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS1-1996</b>   |
| 72 | Recommended Practice for Alphanumeric Computer-Output Microforms - Operational  |
| 73 | Practices for Inspection and Quality Control. (Available at   |
| 74 | <a href="http://www.techstreet.com/info/aiim.html">www.techstreet.com/info/aiim.html</a> .)                           |
| 75 |   |
| 76 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS5-1992(R1998)</b>                                    |
| 77 | Microfiche. (Available at <a href="http://www.techstreet.com/info/aiim.html">www.techstreet.com/info/aiim.html</a> .) |
| 78 |   |
| 79 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS14-1988(R1996)</b>                                   |
| 80 | Specifications for 16mm and 35mm Roll Microfilm. (Available at  |
| 81 | <a href="http://www.techstreet.com/info/aiim.html">www.techstreet.com/info/aiim.html</a> .)                           |
| 82 |   |
| 83 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS19-1993</b>  |
| 84 | Recommended Practice for Identification of Microforms. (Available at  |
| 85 | <a href="http://www.techstreet.com/info/aiim.html">www.techstreet.com/info/aiim.html</a> .)                           |
| 86 |   |
| 87 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS23-1998</b>  |
| 88 | Practice for Operational Procedures/Inspection and Quality Control of First Generation                                |
| 89 | Silver-Gelatin Microfilm of Documents. (Available at  |
| 90 | <a href="http://www.techstreet.com/info/aiim.html">www.techstreet.com/info/aiim.html</a> .)                           |
| 91 |   |
| 92 | <b>American National Standards Institute (ANSI) Code ANSI/AIIM MS32-1996</b>  |

93 Microrecording of Engineering Source Documents on 35mm Microfilm. (Available at  
 94 [www.techstreet.com/info/aiim.html](http://www.techstreet.com/info/aiim.html).)  
 95  
 96 **American National Standards Institute (ANSI) Code ANSI/AIIM MS41-1996**  
 97 Dimensions of Unitized Microfilm Carriers and Apertures (Aperture, Camera, Copy, and  
 98 Image Cards. (Available at [www.techstreet.com/info/aiim.html](http://www.techstreet.com/info/aiim.html).)  
 99  
 100 **American National Standards Institute (ANSI) Code ANSI/AIIM 43-1998**  
 101 Operational Procedures/Inspection and Quality Control of duplicate Microforms of  
 102 Documents and from COM. (Available at [www.techstreet.com/info/aiim.html](http://www.techstreet.com/info/aiim.html).)  
 103  
 104 **American National Standards Institute (ANSI) Code ANSI/AIIM MS45-1990**  
 105 Recommended Practice for Inspection of Stored Silver Gelatin Microforms for Evidence  
 106 of Deterioration. (Available at [www.techstreet.com/info/aiim.html](http://www.techstreet.com/info/aiim.html).)  
 107  
 108 **American National Standards Institute (ANSI) Code ANSI/NAPM IT2.18-1996**  
 109 Photography - Density Measurements - Part 3: Spectral Conditions. (Available at  
 110 [www.global.ihs.com/](http://www.global.ihs.com/).)  
 111  
 112 **American National Standards Institute (ANSI) Code ANSI/NAPM IT2.19-1994**  
 113 Photography - Density Measurements - Part 2: Geometric Conditions for Transmission  
 114 (Available at [www.global.ihs.com/](http://www.global.ihs.com/).)  
 115  
 116 **American National Standards Institute (ANSI) Code ANSI/NAPM IT9.1-1992**  
 117 Imaging Media (Film)-Silver Gelatin Type-Specifications for Stability. (Available at  
 118 [www.global.ihs.com/](http://www.global.ihs.com/).)  
 119  
 120 **American National Standards Institute (ANSI) Code ANSI/NAPM IT9.2-1991**  
 121 Imaging Media-Photographic Processed Films, Plates, and Paper-Filing Enclosures and  
 122 Storage Containers. (Available at [www.global.ihs.com/](http://www.global.ihs.com/).)  
 123  
 124 **American National Standards Institute (ANSI) Code ANSI/NAPM IT9.11-1998**  
 125 Imaging Materials - Processed Safety Photographic Film - Storage. (Available at  
 126 [www.global.ihs.com/](http://www.global.ihs.com/).)  
 127  
 128 **36 CFR, Chapter XII**  
 129 National Archives and Records Administration. (Available at  
 130 <http://www.gpoaccess.gov/ecfr>.)  
 131  
 132 **41CFR, Chapter 102**  
 133 Federal Management Regulation. (Available at <http://www.gpoaccess.gov/ecfr>.)  
 134  
 135 **49 CFR, Part 172 and 173**  
 136 Transportation. (Available at [www.gpoaccess.gov/ecfr](http://www.gpoaccess.gov/ecfr).)  
 137  
 138 **Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 5760.01**



139 Records Management Policy for the Joint Staff and Combatant Commands (Available  
140 at <https://www.arims.army.mil/hot.asp>.)

141

142 **DODI 4525.8**

143 DOD Official Mail Management (Available at [www.dtic.mil/whs/directives/](http://www.dtic.mil/whs/directives/).)

144

145 **DOD 4525.8-M**

146 DOD Official Mail Manual. (Available at [www.dtic.mil/whs/directives/](http://www.dtic.mil/whs/directives/).)

147

148 **Federal Rules of Evidence 803(8)**

149 Public Records and Reports. (Available at [www.uscourts.gov/rules](http://www.uscourts.gov/rules).)

150

151 **International Standards Organization 9660 Standard**

152 Information Processing - Volume and File Structure of CD-ROM for Information  
153 Interchange. (Available at <http://www.iso.org>.)

154

155 **NFPA-40**

156 National Fire Protection Association. (Available at [www.nfpa.org/](http://www.nfpa.org/).)

157

158 **18 USC, Part I, Chapter 101, Section 2071**

159 Concealment, removal, or mutilation generally. (Available at  
160 [www.access.gpo.gov/uscode/uscmmain.html](http://www.access.gpo.gov/uscode/uscmmain.html).)

161

162 **44 USC, Chapter 33, Sections 3301-3314**

163 Disposal of Records. (Available at [www.access.gpo.gov/uscode/uscmmain.html](http://www.access.gpo.gov/uscode/uscmmain.html).)

164

165 **Section III**

166 **Prescribed Forms**

167 The following forms are available at the APD web site ([www.apd.army.mil](http://www.apd.army.mil)) unless  
168 otherwise stated. DD form are available from the Office of the Secretary of Defense  
169 web site ([www.dior.whs.mil](http://www.dior.whs.mil)).

170

171 **DA Form 543**

172 Request for Records. (Prescribed in para 8-3b(1) and (3), 10-3b(3).)

173

174 **DA Form 1613**

175 Cross Reference. (Prescribed in para 3-3.)

176

177 **OF 11**

178 Reference Request-Federal Records Centers. (Available at  
179 <http://www.archives.gov/frc/forms>.) (Prescribed in 8-4b(1)(a), (b), (c), and (d), 8-4f, 84-  
180 f(1).)

181

182 **OF 23**

183 Chargeout Record. (Available through normal forms supply channels.) (Prescribed in  
184 paras 8-3b(1), and (2).)

185  
186 **OF 24**  
187 Shelf File Chargeout Record. (Available through normal forms supply channels.)  
188 Prescribed in paras 8-3b(1) and (2).)  
189  
190 **SF 115**  
191 Request for Records Disposition Authority. (Available through normal forms supply  
192 channels.) (Prescribed in para 4-1, 5-1, 5-2c, d, h, and i, 5-3c, 7-5k, 7-13e(6) and (11).)  
193  
194 **SF 127**  
195 Request for Official Personnel Folder Separated Employee. (Available through normal  
196 forms supply channels.)  
197  
198 **SF 135**  
  
199 Records Transmittal and Receipt. (Available at  
200 <http://www.archives.gov/frc/forms>.) (Prescribed in paras 6-13b(3), 7-5c, 7-5c(1), 7-5f, 7-  
201 5k and l, 7-6a and c, 7-9a, b, c, d, e, f, g and h, 7-12a and d, 7-13e(4), 9-5b(2) and (4),  
202 8-6b, 10-4c, and 12-3c(4)(c).)  
203  
204 **SF 258**  
205 Agreement to Transfer Records to the National Archives of the United States.  
206 (Available through normal forms supply channels.) (Prescribed in paras 7-13a and e, 7-  
207 13e(13), and -10b(3).)  
208  
209 **Section IV**  
210 **Referenced Forms**  
211  
212 **DA Form 1594**  
213 Daily Staff Journal or Duty Officers Log  
214  
215 **DA Form 1613**  
216 Records Cross Reference  
217  
218 **DA Form 2028**  
219 Recommended Changes to Publications and Blank Forms  
220  
221 **DA Form 3964**  
222 Classified Document Accountability Record.  
223  
224 **NA Form 13000**  
225 Agency Review for Contingent Disposal  
226  
227 **NA Form 13001**  
228 Notice of Eligibility for Disposal  
229  
230 **NA Form 13016**

231 Notice of Accession Location Change  
232  
233 **NA Form 13166**  
234 CIPS Registration Form  
235  
236 **SF 180**  
237 Request Pertaining to Military Records. (Available through normal forms supply  
238 channels.)  
239  
240 **SF 703**  
241 TOP SECRET Cover Sheet. (Available through normal forms supply channels.)  
242  
243 **SF 704**  
244 SECRET Cover Sheet. (Available through normal forms supply channels.)  
245  
246 **SF 705**  
247 CONFIDENTIAL Cover Sheet. (Available through normal forms supply channels.)  
248  
249 **VA Form 9957**  
250 Timesharing User Access Request  
251  
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## **Appendix B**

### **Recordkeeping Requirements**

#### **B-1. Requirements.**

This regulation requires the creation, maintenance, and use of the following specific records.

##### **a. K (Keep) Records.**

RN: 215-4a2 - NAF debarred bidder lists - Offices other than Office responsible for final determination as to whether or not a bidder is placed on the list.

RN: 215-4b - NAF vendor mailing lists

RN: 215-4d - NAF procurement registers

RN: 215-4e - NAF procurement inspections

RN: 315-4g - NAF small purchase categories

##### **b. T (Transfer) Records.**

RN: 215-4a1 - NAF debarred bidder lists - Office responsible for final determination as to whether or not a bidder is placed on the list.

RN: 215-4c1 - NAF master, open-end and call-type contracts - Offices administering contract

RN: 215-4c2 - NAF master, open-end and call-type contracts - Offices administering contract: records relating to contracts involved in appeals handled by a Board of Contract Appeals

RN: 215-4f - NAF contracting officer designations

RN: 215-4h - NAF contract actions

RN: 215-4i - NAF award protest files - Offices authorized to perform final review

RN: 215-4j - NAF contract appeals

#### **B-2. Detailed record information**

Detailed information about the above records is located on the RRS-A Module of ARIMS located at [www.arims.army.mil](http://www.arims.army.mil).

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**Appendix C****Records Management Program Evaluation****C-1. Prescribing Directives**

AR 25-1 - Army Knowledge Management and Information Technology  
 AR 25-50 - Preparing and Managing Correspondence  
 AR 25-51 - Official Mail and Distribution Management  
 AR 25-55 - The Department of the Army Freedom of Information Act Program  
 AR 25-400-2 - The Army Records Information Management System (ARIMS)  
 AR 335-15 - Management Information Control System  
 AR 25-71 - The Army Privacy Program  
 DA Pam 25-1-1 - Installation Information Services  
 DODD 5015.2 - Department of Defense Records Management Program

**C-2. Statutes**

Federal Records Act of 1950, as amended  
 Privacy Act of 1974, as amended  
 Paperwork Reduction Act of 1980 as amended by Paperwork Reduction Act of 1995  
 The Freedom of Information Act of 1996  
 Computer Matching and Privacy Protection Act of 1988, as amended

**C-3. Questionnaire**

|   | ITEM  | Y | N | COMMENTS |
|---|---|---|---|----------|
|   | <b>GENERAL</b>  |   |   |          |
| 1 | Is a records management program established in your organization? If so, where in the organization are the records management responsibilities placed?  |   |   |          |
| 2 | Is the office responsible for your records management program sufficiently staffed to operate the program effectively?  |   |   |          |
| 3 | Has an organizational records manager been appointed with the responsibility for records management functions in the organization? Has a copy been provided ARMDA? Are records coordinators designated at sub-element level to help with program execution? |   |   |          |
| 4 | Does the records manager have additional functions?   |   |   |          |
|   | a. If so, what?   |   |   |          |
|   | b. If so, what percentage of time is spent  |   |   |          |

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|----|--|--|--|--|
|    | on records management functions?   |  |  |  |
| 5  | Are records managers included in the planning process for new or replacement IT systems?   |  |  |  |
| 6  | Does records manager have a working relationship with the legal advisor, IT security officer and system administrator?                             |  |  |  |
| 7  | Is training offered to serviced/supported activities in the following records management program elements:   |  |  |  |
|    | a. Records identification, maintenance and disposition, including electronic? (ARIMS)  |  |  |  |
|    | b. Official mail and distribution?   |  |  |  |
|    | c. Privacy Act?  |  |  |  |
|    | d. Freedom of Information Act?   |  |  |  |
| 8  | Are records management reviews of commands conducted at least once every three years?  |  |  |  |
| 9  | Are all elements of records management covered during the evaluations? Is this checklist used for the evaluations? Are past evaluations available? |  |  |  |
| 10 | Are the evaluations documented with findings, actions to be taken to correct deficiencies, and forwarded to the evaluated element?                 |  |  |  |
| 11 | Do evaluation reports identify accomplishments as well as deficiencies?  |  |  |  |
| 12 | Are follow-up visits/reports made to ensure that recommendations have been implemented?  |  |  |  |
|    | <b>RECORDKEEPING (AR 25-400-2)</b>   |  |  |  |
| 13 | Is the organizational records manager or records coordinator registered on the ARIMS website?  |  |  |  |
| 14 | Have records officials obtained training in ARIMS?   |  |  |  |
| 15 | Is AR 25-400-2 and RRS-A used as the legal authority for identifying, maintaining, and archiving or destroying records?                            |  |  |  |
| 16 | Have current files been established and set up in accordance with ARIMS? Are minimum labeling requirements being met?                              |  |  |  |
| 17 | Are official records kept separate from  |  |  |  |

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|    | personal records in a consistent and readily identified manner?   |  |  |  |
| 18 | Are inactive files being maintained separately from active ones?  |  |  |  |
| 19 | Does the recordkeeping management program include all records regardless of media (electronic and e-mails, paper, audiovisual, cartographic, etc)?  |  |  |  |
| 20 | Are office records lists (ORLs) prepared using ARIMS RM-Assist and approved by the servicing records management official?   |  |  |  |
| 21 | Are information custodianship responsibilities understood and clearly designated?   |  |  |  |
| 22 | Does everyone in the organization know the storage location(s) of its hardcopy and electronic records?  |  |  |  |
| 23 | Are records stored in a centralized records area or repository? If so, where is the area or repository located?   |  |  |  |
| 24 | Do all units identify their records with K or T dispositions, regardless of the media (for example, network or hard drive, 3.5-inch diskette, CD, paper) and year of creation?  |  |  |  |
| 25 | <p>Are the following controls in place to safeguard and maintain required system documentation, hardware, and software to allow the management of electronic records throughout their life cycle?</p> <p>a. Are precautions being taken to ensure that appropriate software and hardware will be available to read electronic records?</p> <p>b. Is periodic maintenance or recopying of long-term electronic records being conducted during their life cycles?</p> <p>c. Is a routine being followed to backup record information? Describe routine.</p> <p>d. Is the backup routine included in the system documentation?</p> |  |  |  |
| 26 | If a system or equipment is used for FOUO or PA information, have proper safeguards been established? Do computer printouts have appropriate markings?  |  |  |  |
| 27 | Are controls being used to prevent the unauthorized alteration or deletion of   |  |  |  |

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|    | electronic records? If so, describe the controls.  |  |  |  |
| 28 | Do records created on an electronic system have enough data entered to help identify, protect, retrieve, and dispose/transfer the records?   |  |  |  |
| 29 | Are procedures in place to ensure that digitized records are kept only as long as needed? If so, describe the procedures.  |  |  |  |
| 30 | Are electronic records, digitized images, or microforms stored under environmentally controlled conditions, periodically inspected to detect deterioration, and recopied when appropriate to meet the minimum scheduled retention? |  |  |  |
| 31 | Are storage media such as disks, file drawers, and folders labeled to facilitate quick identification, access, and disposition of record information?  |  |  |  |
| 32 | Are any organizations within your command still microfilming?  |  |  |  |
| 33 | Are system managers aware of degree of protection to be afforded records stored and used electronically in accordance with classification, releasability, Freedom of Information Act, and Privacy Act?                             |  |  |  |
| 34 | Are safeguards in place against the removal or loss of official records IAW 44 USC 3105?   |  |  |  |
| 35 | Are all command unique filing requirements being met?  |  |  |  |
| 36 | Is a "pre-file check" performed to assure that each item belongs in the files, records are complete, and if required by the command, file authority is present?  |  |  |  |
| 37 | Are files arranged in order (for example, date, number, alphabetical, subject, name, organization, etc)?   |  |  |  |
| 38 | Are files cutoff and new files created for current year per disposition instructions?  |  |  |  |
| 39 | Has a distinction been made between retention periods (for example, peacetime, mobilization, or the conduct of military operations) where they apply?  |  |  |  |
| 40 | Are all unidentified files brought to the attention of the records manager?  |  |  |  |



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|----|--|--|--|--|
| 41 | Is the documentation required for unidentified files forwarded through command channels, for approval? Is a copy maintained by the records manager?          |  |  |  |
| 42 | Do organization personnel know the standards for storage of security-classified documents?   |  |  |  |
| 43 | Are procedures established for staff to follow when they use records?  |  |  |  |
| 44 | Is classified material stored IAW security regulations? Are classified and unclassified records handled separately?  |  |  |  |
| 45 | Does the organization create records with a permanent or long-term retention period (T records)?   |  |  |  |
| 46 | Are T e-mail records and other electronic records being sent to the AEA via the ECS or middleware software, as applicable?                                   |  |  |  |
| 47 | Are records destroyed or retired as required?  |  |  |  |
| 48 | Are K records being destroyed IAW disposition instructions and not kept past the business need?  |  |  |  |
| 49 | Have all eligible records been transferred to the RHA or AEA, as applicable?   |  |  |  |
| 50 | Are records authorized for destruction processed through property disposal channels for sale or recycling when possible?                                     |  |  |  |
| 51 | Are exposed x-ray film, motion picture film, and certain microforms that contain precious metals disposed of under the DOD Precious Metals Recovery Program? |  |  |  |
| 52 | Does the organization know the location and purpose of the RHA?  |  |  |  |
| 53 | Is the RHA accessible only to authorized personnel?  |  |  |  |
| 54 | Does the organization transfer records to the RHA? Which types of records?   |  |  |  |
| 55 | Is the SF 135 or equivalent prepared in an acceptable manner for records to be retired or transferred to the RHA?  |  |  |  |
| 56 | Are records managers ensuring that no records subject to the Privacy Act are being transferred unless they are covered by a systems notice?                  |  |  |  |

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|----|--|--|--|--|
| 57 | Are T records eligible for transfer/retirement being processed in a timely manner?   |  |  |  |
| 58 | Is each box accepted into the RHA labeled correctly and the corresponding number annotated on applicable SFs 135?  |  |  |  |
| 59 | Do all accepted records have an SF 135?  |  |  |  |
| 60 | Are SFs 135 being completed correctly?   |  |  |  |
| 61 | Are copies of the SF 135 on file for stored and transferred records?   |  |  |  |
| 62 | Has RN 25-400-2a been established in staff office to maintain the SFs 135?   |  |  |  |
| 63 | Have procedures for submission of requests for records, charge out procedures, and suspense controls been established?   |  |  |  |
| 64 | Does the organization have a method for tracking documents that are removed from the files?  |  |  |  |
| 65 | Does the records holding area meet the NARA facility standards set forth in 36 CFR, Part 1228, Subpart K, 1228.228 through 1228.232?   |  |  |  |
|    | <b>CORRESPONDENCE MANAGEMENT (AR 25-50)</b>  |  |  |  |
| 66 | Has the organization developed a correspondence quality control program?   |  |  |  |
| 67 | Are training opportunities provided all Army writers within the organization?  |  |  |  |
| 68 | Are established procedures in place to ensure timeliness of replies for both suspense and non-suspense actions?  |  |  |  |
| 69 | Is the correspondence containing classified information marked and safeguarded as prescribed in AR 25-50, Chap 8 and AR 380-5?   |  |  |  |
| 70 | Are delegation of signature authority and authority lines exercised IAW AR 25-50, Chap 6?  |  |  |  |
|    | <b>OFFICIAL MAIL AND DISTRIBUTION MANAGEMENT (AR 25-51) (MACOMS inspecting Installation Mail and Distribution Centers will use the checklist in the DOD Official Mail Manual.)</b> |  |  |  |

DRAFT – NOT FOR IMPLEMENTATION

|    |   |  |  |  |
|----|---|--|--|--|
| 71 | Has the Official Mail Manager taken steps to ensure that carry over funds for postage meters do not exceed 30 days at the end of the fiscal year?             |  |  |  |
| 72 | Do personnel in the organization receive training in the preparation of mail and the cost effective use of the official mail system?                          |  |  |  |
| 73 | Has the organization developed procedures limiting the use of special services (for example, registered, certified, etc)?                                     |  |  |  |
| 74 | Is outgoing mail properly prepared and not subject to surcharges for size or weight?  |  |  |  |
| 75 | Are safeguards in place to guard against the loss, misuse, or theft of official mail postage?   |  |  |  |
| 76 | Are personnel instructed to have personal mail sent to their home and not to their duty station?  |  |  |  |
| 77 | Are mailings to common addresses consolidated?  |  |  |  |
| 78 | Are alternatives to hard copy mailings considered (for example, electronic transfer or facsimile)?  |  |  |  |
| 79 | Has an Official Mail Manager been appointed in writing?   |  |  |  |
|    | <b>FREEDOM OF INFORMATION ACT (FOIA) PROGRAM (AR 25-55)</b>   |  |  |  |
| 80 | Has the organization established educational/training programs to provide staff members and FOIA officials a thorough understanding of regulatory procedures? |  |  |  |
| 81 | Are FOIA and PA requests logged or imported into the Freedom of Information and Privacy Acts Case Tracking System (FACTS)?                                    |  |  |  |
| 82 | Are FOIA requests responded to within 20 working days of receipt?   |  |  |  |
| 83 | Is a request denied only when it falls under one or more of the nine FOIA exemptions?   |  |  |  |
| 84 | Are requests that deny any or all of the information forwarded to the appropriate Initial Denial Authority?   |  |  |  |
| 85 | Are requesters advised of their appeal rights of denied information or "no  |  |  |  |

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|    |   |  |  |  |
|----|---|--|--|--|
|    | records”?   |  |  |  |
| 86 | Are fees waived if under \$15 or when the request is in the public interest?  |  |  |  |
|    | <b>PRIVACY ACT PROGRAM (AR 340-21)</b>  |  |  |  |
| 87 | Have privacy act officials been designated?   |  |  |  |
| 88 | Are all PA requests responded to within 10 working days of receipt by the proper system manager or record custodian?  |  |  |  |
| 89 | Are privacy statements included on forms and questionnaires seeking information from an individual?   |  |  |  |
| 90 | Is only record information covered by a PA System Notice retrievable by personal identifier, regardless of the media?   |  |  |  |
| 91 | Do all units identify their record information covered by a PA System Notice as such and include the PA Systems Notice number in the labeling information, regardless of the media (network or hard drive, 3.5” diskette, CD, paper)? |  |  |  |
| 92 | Is written consent of the individual being obtained for disclosures made other than those authorized by AR 340-21, Chap 3?  |  |  |  |
| 93 | Is an accounting of disclosure maintained whenever a record from an Army system of records is disclosed to someone other than those described in AR 340-21,   |  |  |  |
| 94 | Have procedures been developed to allow individual to request amendment of their records as described in AR 340-21, para 2-10?  |  |  |  |
|    | <b>MANAGEMENT INFORMATION CONTROL (REPORTS CONTROL) (AR 335-15)</b>   |  |  |  |
| 95 | Has a Management Information Control Officer been designated?   |  |  |  |
| 96 | Are records maintained for the control of all report requirements over which the organization has jurisdiction?   |  |  |  |
| 97 | Are automatic data processing products controlled and assigned product control numbers?   |  |  |  |
| 98 | Has approval been obtained from the Office of Management and Budget for all information collections from the public   |  |  |  |

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|     |   |  |  |  |
|-----|---|--|--|--|
|     | sector, affecting ten or more individuals?  |  |  |  |
| 99  | Are periodic reviews of management information requirements and ADP products conducted IAW AR 335-15, Chap 6?   |  |  |  |
|     | <b>VITAL RECORDS PROGRAM MANAGEMENT</b>   |  |  |  |
| 100 | Does your organization have a vital records program?  |  |  |  |
| 101 | Are your vital records that are in electronic form (e-mail, tape, disk, microfiche, ODI) accompanied by textual documentation and, if necessary, by essential software? |  |  |  |

## Appendix D

### Quick Reference Guide to Documenting Operations for Deployed Units of the Army

#### D-1. Applicability.

This guide applies to all Army forces that are deployed or engaged in operational missions. The guide provides instructions for the creation and preservation of records in units and parts of units deployed for combat, emergency, and special operations both singly and as part of a task force. The records specified in this guide provide important rights and interest information for Soldiers and veterans. The Army must be able to research the location and activities of units and Soldiers involved in combat or contingency operations. Destruction or loss of Army records is a violation of Federal Law and must not occur.

#### D-2. Responsibilities.

Commanders of deployed units will designate a point of contact for the monthly collection and transfer of records created in their units in accordance with processes to be established by the commander directing the overall operation. Records shipped by mail, either hardcopy or electronic records on removable media, should be accompanied by a completed SF 135. If this is not possible, a simple cover sheet can be used (legibly handwritten or typed) giving the unit's full name and address, UIC, unit POC info, name of task force, name of operation, inclusive dates of the records and a list of the records in the shipment. **NOTE: Records sent to the Washington National Records Center (WNRC) will only be accepted if all transfer procedures are properly followed. The following link will take you to these procedures and provide all necessary forms:** <http://www.archives.gov/frc/guide.html>

#### D-3. Applicable records.

This guide applies to all records regardless of media, for example, paper, computer disks and tapes, microform, photographic film, e-mail and other electronic formats. Electronic records (received or transmitted) will be provided in the format in which they were saved. Transmit unclassified e-mail to be preserved as a record to: [conops@arims.army.mil](mailto:conops@arims.army.mil). Other unclassified records may be attached to an e-mail and sent to the same address. Put the name of the operation in the subject line. Classified records may be attached to an e-mail and sent (via SIPRNET) to [conops@mail.arims.army.smil.mil](mailto:conops@mail.arims.army.smil.mil). DO NOT MIX CLASSIFIED AND UNCLASSIFIED RECORDS ON ELECTRONIC MEDIA.

#### D-4. Records Preservation.

Annex A contains a list of specific records to be created, maintained and transferred. Specific record descriptions for each of these file numbers can be found on the ARIMS web site (<https://www.arims.army.mil>) under the RRS-A tab. The list of file numbers in Annex A is not all-inclusive. Any records that DOCUMENT OPERATIONS of the unit will be preserved per this instruction and AR 25-400-2.

#### D-5. Copies of Records Provided Other Organizations.

From time to time organizations such as Center for Army Lessons Learned and Military History Detachments will visit deployed units to collect COPIES of records. DO NOT give these organizations the record copy of information to be preserved. The record copy will be handled in accordance with these instructions and AR 25-400-2.

#### D-6. Emergency Disposal of Records.

Army records may be destroyed only if capture by a foreign power appears imminent. Destruction for any other reason is not authorized. If emergency destruction of records is performed, a list of those records and the inclusive dates of each will be compiled, to the extent possible, and sent to Army Records Management and Declassification Directorate, Records Management Division, ATTN: JDRP-RDR-R, 7701 Telegraph Rd, Casey Bldg. Rm. 102, Alexandria, VA 22315-3860. (<https://www.arims.army.mil/help/onlinehelp.asp>)

#### D-7. Classification of Records.

Do not “over-classify” records. Follow the classification guides in Army Security Regulations and/or the Operation Plan (OPLAN) for the operation. Ensure declassification instructions accompany all classified records, including electronic records, prior to transferring them. Mail classified records (double wrapped) by registered Official Mail.

| ANNEX A<br>FUNCTIONAL<br>AREA | FILE<br>NO. | DESCRIPTION |
|-------------------------------|-------------|-------------|
|-------------------------------|-------------|-------------|

**Send the following records to: U.S. Armed Forces Center for Unit Records Research, ATTN: JDRP-RDU, Kingman Building, Room 2C08, 7701 Telegraph Rd., Alexandria, VA 22315**

|                     |             |  |
|---------------------|-------------|--|
| Operations          | 220-15a1    | Daily Staff Journal and TOC log w/ coordinates of locations and events             |
| Operations          | 525a1       | Command Reports, Special Reports, Maps and Overlays, Incident Reports              |
| Operations          | 525n1       | Operation Planning Files. OPLANS (including audio/videotapes of teleconferences)   |
| Operations          | 525p1       | Operation Procedure Files. OPORDS (including audio/videotapes of teleconferences)  |
| Office Housekeeping | 1hh         | Office Temporary Duty Travel (Civilian TDY Orders)                                 |
| Nuclear/Chemical    | 50-5a1      | Nuclear accident/incident controls   |
| Weapons/Mat'l       | 50-6b1      | Chemical accident/incident controls  |
| Safety              | 385-10f2    | Accident/Incident Case Files (including nuclear, chemical and biological exposure) |
| Military Police     | 190-45b2, 3 | Military Police (MP) Journals (Blotters)   |

**Process and transmit the following records in accordance with the regulations that prescribe their creation. These records should be shipped to the unit's home station RHA on a monthly basis for processing or the Washington National Records Center (WNRC), 4205 Suitland Rd, Suitland MD 20746-8001. NOTE: Records shipped to WNRC will only be accepted if all transfer procedures are properly followed (see above link).**

|                  |              |   |
|------------------|--------------|---|
| Management       | 5b1          | Agreement                                       |
| Military Police  | 190-8a       | Enemy PW/detainee files                         |
| Military Police  | 190-8b       | Enemy PW/detainee general information           |
| Military Police  | 190-8d       | Enemy PW/detainee complaints and investigations |
| Military Police  | 190-8e       | Enemy PW/detainee strength reports              |
| Military Police  | 190-8f       | Enemy PW/detainee rosters                       |
| Military Police  | 190-8h       | Enemy PW/detainee educational media             |
| Military Police  | 190-8i1, 2   | Enemy PW/detainee noncontract labor             |
| Military Police  | 190-8j1, 2   | Enemy PW labor contracts                        |
| Military Police  | 190-8k       | Enemy PW camp labor reports                     |
| Military Police  | 190-8q       | Prisoner of war censorship                      |
| Military Police  | 190-8s       | Enemy CI general information                    |
| Military Police  | 190-8u       | Enemy CI complaints and investigations          |
| Military Police  | 190-8v       | CI strength reports                             |
| Military Police  | 190-8w       | Enemy CI rosters                                |
| Military Police  | 190-8x       | Enemy CI property accounting files              |
| Military Police  | 190-8y       | Enemy CI educational media                      |
| Military Police  | 190-8z       | Enemy CI noncontract labor                      |
| Military Police  | 190-8aa      | Enemy CI camp labor reports                     |
| Military Police  | 190-9a       | Absentee Cases                                  |
| Military Orders  | 600-8-105a 1 | Personnel Type Orders                           |
| Army Information | 360-5b 2     | News Media and Releases                         |
| Transportation   | 55-355PERf   | Passenger Manifests (per DOD 4500.9-R, Vol. 1)  |
| Transportation   | 55-355FRTg   | Bills of Lading (per DOD 4500.9-R, Vol. 2)      |
| Logistics        | 710-2a       | Property Book and Supporting Documents          |
| Logistics        | 710-2b       | Document Registers                              |
| Logistics        | 710-2h1,2,3  | Property Loss, Theft, and Recovery Reports      |
| Logistics        | 710-2t       | Unit Supply Reports                             |
| Logistics        | 735-5r1      | Report of Survey Files                          |
| Logistics        | 735-5s       | Report of Survey Control Register Files         |

Send the following records to: Inspector General, ATTN: SAIG-IR, 2511 Jefferson Davis Hwy, Arlington, VA 22202-3912

**Inspector General Records:**

|                    |       |                   |
|--------------------|-------|-------------------|
| Asst., Insp., Inv. | 20-1b | IG Investigations |
|--------------------|-------|-------------------|

Send the following records to: CDR, 902d MI GP, Investigative Records Repository, ATTN: IAMG-C-IRR, 4552 Pike Road, Fort George G. Meade, MD 20755-5995:

**Intelligence Records:**

|              |              |  |
|--------------|--------------|--|
| Intelligence | 381-20d      | Counterintelligence Collection Files     |
| Intelligence | 381-20i1,2,3 | Foreign Personnel and Organization Files |
| Intelligence | 381-20n      | U.S. PW/MIA Detainee Intelligence        |
| Intelligence | 381c         | Intelligence/Counterintelligence Sources |
| Intelligence | 381-47a      | Counterintelligence, Special Operations  |
| Intelligence | 381-100a     | HUMINT Intelligence Collection           |

Send the following records to: CDR, U.S. Army Intelligence and Security Command Records Center, ATTN: IAIM-RP-R, 8825 Beulah St, Fort Belvoir, VA 22060-5246:

|              |             |                                   |
|--------------|-------------|-----------------------------------|
| Intelligence | 381-3a      | MI Operational Management Files   |
| Intelligence | 381-3b1     | MI Operational Management Reports |
| Intelligence | 381-3c 1, 2 | MI Non-Operational Reports        |
| Intelligence | 381-3d1     | MI Mission Assignments            |
| Intelligence | 381-3f      | MI Project Cases                  |
| Intelligence | 381-11b     | Scientific and Tech Intelligence  |
| Products     |             |                                   |
| Intelligence | 381-20b     | Captured Information              |

**Medical Records:** Units providing medical care will transmit these records in accordance with medical prescribing directives.

|         |             |  |
|---------|-------------|--|
| Medical | 40          | Clinic Logs  |
| Medical | 40-5d1      | Command Health Reports   |
| Medical | 40-66a      | Outpatient Field Medical File (Including DD 2766, DD 1380, SFs 516, 558 and 600; and Other Medical Reports). |
| Medical | 40-66ddd1,2 | Inpatient, Fetal Monitoring Strips (FMS and Extended Ambulatory Records (EAR) Fixed Medical Facilities       |
| Medical | 40-66i      | NATO Inpatient Records   |
| Medical | 40-905e1,2  | Military Animal Records  |

**Visual Information Records:** VI records (still and motion) will be sent to Director, U.S. Army Visual Information Center, ATTN: JDHQS-AV-E-L, Room 1A256, 3001 Army Pentagon, Washington, DC 20310-3001 for processing into the records center.

**Personnel Records:** Process and transmit personnel records in accordance with personnel prescribing directives.



1 **Glossary**

2  
3 **Section I**

4 **Abbreviations**

5  
6 **AASA**

7 Administrative Assistant to the Secretary of the Army

8  
9 **AEA**

10 Army electronic archives

11  
12 **AIC**

13 American Institute for Conservation

14  
15 **ANSI**

16 American National Standards Institute

17  
18 **AO**

19 action officer

20  
21 **AOC**

22 Army operations center

23  
24 **AOR**

25 area of responsibility

26  
27 **AR**

28 Army regulation

29  
30 **ARIMS**

31 Army Records Information Management System

32  
33 **ARMDA**

34 Army Records Management and Declassification Agency

35  
36 **ARNG**

37 Army National Guard

38  
39 **ARSTAF**

40 Army staff

41  
42 **BRAC**

43 base realignment and closure

44  
45 **ASCII**

46 American Standard Code for Information Interchange

47 **CF**  
48 cubic foot  
49  
50 **CFA**  
51 current files area  
52  
53 **CFR**  
54 Code of Federal Regulations  
55  
56 **CD-ROM**  
57 compact disc-read only memory  
58  
59 **CIPS**  
60 Centers Information Processing Systems  
61  
62 **COM**  
63 computer output microform  
64  
65 **CONOPS**  
66 contingency operations  
67  
68 **COTS**  
69 commercial off the shelf software  
70  
71 **CY**  
72 calendar year  
73  
74 **DA**  
75 Department of the Army  
76  
77 **DACCS**  
78 Department of the Army Command and Control System  
79  
80 **DOD**  
81 Department of Defense  
82  
83 **DRU**  
84 director reporting unit  
85  
86 **E**  
87 event  
88  
89 **EBCDIC**  
90 extended binary coded decimal interchange code  
91  
92 **ECS**

93 electronic capture and store  
94  
95 **FACTS**  
96 Freedom of Information and Privacy Acts Case Tracking System  
97  
98 **FEMA**  
99 Federal Emergency Management Agency  
100  
101 **FMR**  
102 Federal management regulations  
103  
104 **FOIA**  
105 Freedom of Information Act  
106  
107 **FOUO**  
108 For Official Use Only  
109  
110 **FRAGO**  
111 fragmentary order  
112  
113 **FRC**  
114 Federal records center  
115  
116 **FY**  
117 fiscal year  
118  
119 **GRS**  
120 General Records Schedule  
121  
122 **GSA**  
123 General Services Administration  
124  
125 **HQDA**  
126 Headquarters, Department of the Army  
127  
128 **IAW**  
129 in accordance with  
130  
131 **IDA**  
132 initial denial authority  
133  
134 **INSCOM**  
135 Intelligence and Security Command  
136  
137 **IS**  
138 information system

139  
140 **ISO**  
141 International Standards Organization  
142  
143 **IT**  
144 information technology  
145  
146 **K**  
147 keep  
148  
149 **KE**  
150 keep event  
151  
152 **KEN**  
153 keep event no longer needed  
154  
155 **KN**  
156 keep no longer needed  
157  
158 **MACOM**  
159 major Army command  
160  
161 **MOA**  
162 memorandum of agreement  
163  
164 **MOU**  
165 memorandum of understanding  
166  
167 **MPS**  
168 Military Postal system  
169  
170 **NARA**  
171 National Archives and Records Administration  
172  
173 **NATO**  
174 North Atlantic Treaty Organization  
175  
176 **NLN**  
177 no longer needed  
178  
179 **NSN**  
180 national stock number  
181  
182 **NTE**  
183 not to exceed  
184

185 **OAASA**  
186 Office of the Administrative Assistant to the Secretary of the Army  
187  
188 **OCR**  
189 optical character recognition  
190  
191 **OCRHA**  
192 overseas command records holding area  
193  
194 **OCONUS**  
195 outside continental United States  
196  
197 **OF**  
198 optional form  
199  
200 **OMDC**  
201 official mail and distribution center  
202  
203 **OPLAN**  
204 operation plan  
205  
206 **OPORD**  
207 operation order  
208  
209 **ORL**  
210 office records list  
211  
212 **PA**  
213 Privacy Act  
214  
215 **QC**  
216 quality control  
217  
218 **QRC**  
219 Quick Reference Guide  
220  
221 **RA**  
222 records administrator  
223  
224 **RC**  
225 records coordinator  
226  
227 **RD/FRD**  
228 restricted data/formerly restricted data  
229  
230 **RH**

231 relative humidity  
232  
233 **RHA**  
234 records holding area  
235  
236 **RHAM**  
237 records holding area manager  
238  
239 **RIPS**  
240 Records Input Processing System  
241  
242 **RM**  
243 records manager  
244  
245 **RMA**  
246 records management application  
247  
248 **RN**  
249 record number  
250  
251 **RRS-A**  
252 Records Retention Schedule - Army  
253  
254 **RM-Assist**  
255 Records Management-Assistance  
256  
257 **SCI**  
258 sensitive compartmented information  
259  
260 **SDTS**  
261 spatial data transfer standard  
262  
263 **SF**  
264 standard form  
265  
266 **SGML**  
267 standard generalized markup language  
268  
269 **SITREP**  
270 situation report  
271  
272 **STAMIS**  
273 Standard Army Management Information Sytem  
274  
275 **T**  
276 transfer

277 **TEP**  
278 transfer event permanent  
279  
280 **TOC**  
281 tactical operation center  
282  
283 **TP**  
284 transfer permanent  
285  
286 **U**  
287 unscheduled  
288  
289 **UIC**  
290 unit identification code  
291  
292 **USAR**  
293 U.S. Army Reserve  
294  
295 **USC**  
296 United States Code  
297  
298 **VA**  
299 Veterans Affairs  
300  
301 **WIC**  
302 web information center  
303  
304 **WNRC**  
305 Washington National Records Center  
306  
307 **Section II**  
308 **Terms**  
309  
310 **accession**  
311 The act and procedures involved in transferring legal title and physical custody of  
312 records from Department of the Army to the National Archives.  
313  
314 **action officer**  
315 Any individual who creates official records on behalf of the Army.  
316  
317 **administrative records**  
318 Records relating to budget, personnel, supply and similar housekeeping, or  
319 facilitative, functions common to most agencies, in contrast to program records.  
320  
321 **administrative value**

322 The usefulness of records in conducting an agency/s current business; includes  
323 fiscal value and legal value.  
324  
325 **alphabetic arrangement**  
326 Arranging records in alphabetical order by name or subject.  
327  
328 **alphanumeric arrangement**  
329 Arranging records in order by a combination of words and numbers.  
330  
331 **architectural records**  
332 Graphic records that depict the proposed and the actual construction of  
333 stationary structures, such as building, bridges, and canals, and movable objects,  
334 such as ships, aircraft, vehicles, weapons, machinery and equipment.  
335  
336 **Army Records Information Management System (ARIMS)**  
337 A system for identifying, arranging, and retrieving Army records for reference and  
338 disposition according to the directive, usually an AR or DA pamphlet, which  
339 prescribes their creation, maintenance and use.  
340  
341 **cartographic records**  
342 Graphic representations drawn to scale of selected cultural and physical features  
343 of the surface of the earth, other planetary bodies and of the atmosphere.  
344  
345 **classified records**  
346 Official records or information requiring protection against unauthorized  
347 disclosure. The degree of protection is specified by one of the following: TOP  
348 SECRET, SECRET, CONFIDENTIAL.  
349  
350 **computer output microform (COM)**  
351 Microforms (microfiche, microfilm) containing data produced by a recorder from  
352 computer generated signals. A process of converting data from magnetic tape to  
353 human readable images on film.  
354  
355 **copy**  
356 A reproduction or duplication of an original record. Copies identified by their  
357 function include action copy, file or record copy, reading copy, reference copy,  
358 and official copy. Copies identified by method of creation include carbon,  
359 electrostatic, offset, diazo, and vesicular. In electronic records, the action or  
360 result of reading data from a source, leaving the source data unchanged, and  
361 writing the same data elsewhere on a medium that may differ from the source.  
362  
363 **current records**  
364 Records necessary for doing the current business or operations of an office or  
365 unit.  
366  
367 **cutoff**



Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks.

**date arrangement**

Arranging records chronologically with the newest record at the front of the file.

**declassification**

The determination that security classified information no longer requires, in the interest of national security, protection against unauthorized disclosure. Removal or cancellation of the security information markings is normally involved.

**discontinuance**

The placing of an organization in an inactive status or in surplus status when all military functions have ceased. When this term is used, it also includes inactivation, disbandment, and reduction to zero strength.

**disposition**

The actions taken with noncurrent records. These include transfer to a records holding area, retirement to a NARA records center facility, authorized donations, destruction, and accessioning into the National Archives.

**disposition authority**

Legal approval empowering an agency to transfer permanent records to the National Archives or carry out the disposal of temporary records.

**disposition instructions**

Precise instructions specifying the time or event for transfer, retirement, or destruction of records.

**disposition schedule**

A document governing, on a continuing basis, the retention and disposition of the recurring record series of an organization or agency.

**documentary material**

A collective term used to refer to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording.

**donation**

The transfer of Army records (which are eligible for destruction) to a qualified agency, organization, institution, or person.

**duration period**

The period of time a scheduled record must be kept before its disposition. Synonymous with retention period.

**electronic records**

Records stored in a form that only a computer can process.

**emergency operating records**

Records that are essential to the continued functioning and reconstitution of an organization before, during, and after a national security emergency, or under emergency or disaster conditions. Emergency operating records are one of two types of vital records; the other type being rights and interests records.

**event**

When used as part of the records disposition, the event represents the occurrence that must happen to start the retention period. Examples: close of case; supersession; obsolescence.

**file**

An accumulation of records maintained in a predetermined physical arrangement or to place documents in a predetermined location according to an overall plan of classification.

**file number**

The number assigned under ARIMS to a specific series of records. The number is based on the prescribing directive specifying they be created. Synonymous with record number.

**fiscal value**

The usefulness of records in documenting an agency's financial transactions and obligations.

**For Official Use Only**

A classification for information not needing the full protection warranted by classified records but which should be protected from unauthorized disclosure based on a privileged or confidential basis because of its content. See AR 25-55 for types of information that may be categorized as FOUO.

**fuzzy search**

Fuzzy is another way of saying inexact. One common use of this word is in the term fuzzy search. This is a feature in some software programs that allows you to search for text that is similar to, but not necessarily exactly the same as what you tell it to look for. For example, you might type in something like "phonics," and the fuzzy search might find "phonics" or "telephone" or "Phoenicia," or even "corn pone."

**hardcopy records**

Records created on paper or some other durable surface, such microfilm.

**housekeeping files**

Records accumulated or generated in an office that document the internal administrative functions of the office as opposed to those that document the primary missions of the office.

**imaged files**

Files created by processing hardcopy records through a scanner which digitizes and converts the information to bit-mapped images of the records.

**information system**

The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Often used as a synonym for a digitized or electronic records system.

**keep records**

Records classified as “K” records which are usually short-term temporary records that have no value beyond the business process. They can have retention periods from one day up to and including 6 years.

**keep event records**

Records classified as “KE” records which are usually short-term temporary records that have no value beyond the business process. They can have retention periods from one day up to and including 6 years; however, the retention period does not start until the event occurs. They may be further classified as KEN (keep until event occurs and then until no longer needed) or KE1, KE3, etc (keep for 1 year after event occurs, 3 years after event occurs, etc).

**legal value**

The usefulness of records in documenting legally enforceable rights or obligations.

**library copy**

Reference copy of a record maintained as part of a library collection or manuscript collection; not an official record copy.

**life cycle of records**

The management concept that records pass through three states: creation, maintenance and use, and disposition.

**master index**

In ARIMS, the index for all hardcopy records retired to Army record holding facilities and for electronic records that have been transferred to the Army electronic archives.

**microfiche**

506 A card-sized transparent sheet of film with miniaturized images arranged in a grid  
507 pattern.

508

509 **micrographic records**

510 Records placed on microfilm by reducing and recording images photographically  
511 or by recording directly onto film using a computer.

512

513 **museum copy**

514 Reference copy of a record maintained as part of a museum collection or  
515 manuscript collection; not an official record copy.

516

517 **noncurrent records**

518 Records no longer required for current business or operations; inactive records.

519

520 **non-records**

521 Documents excluded from the legal definition of records according to 44 U.S.C.  
522 3301.

523

524 **numeric arrangement**

525 Arranging records in sequence by number.

526

527 **office**

528 Any place where records are created, maintained, or used, excluding records  
529 holding areas, records centers, etc.

530

531 **office record list**

532 List of record titles/record numbers used within a specific office.

533

534 **official record copy**

535 That copy of a record kept by the agency, office, or element directly responsible  
536 for the function to which the record relates which has been identified as the copy  
537 to be maintained to document the action taken or business transacted. Record  
538 copies of incoming or outgoing communications may be in a variety of forms.  
539 These include electronic copy, paper copy, handwritten items, specific media,  
540 microforms, etc. It does not include reading file copies or copies held for  
541 convenience or reference. Synonymous with record copy.

542

543 **permanent records**

544 The designation applied to records worthy of permanent retention by the United  
545 States, and accessioned into the National Archives.

546

547 **program records**

548 Records documenting the unique, substantive functions for which an agency is  
549 responsible, in contrast to administrative records.

550

551 **personal papers**

Documentary materials belonging to an individual that are not used to conduct agency business.

#### **preservation**

Specific measures, individual and collective, taken for the repair, maintenance, restoration, or protection of information storage media.

#### **record copy**

That copy of a record kept by the agency, office, or element directly responsible for the function to which the record relates which has been identified as the copy to be maintained to document the action taken or business transacted. Record copies of incoming or outgoing communications may be in a variety of forms. These include electronic copy, paper copy, handwritten items, specific media, microforms, etc. It does not include reading file copies or copies held for convenience or reference. Synonymous with official record copy.

#### **record number**

The number assigned under ARIMS to a specific series of records. The number is based on the prescribing directive specifying they be created. Synonymous with file number.

#### **recordkeeping requirements**

Statements in laws, regulations or agency directives providing general and specific guidance on particular records to be created and maintained by an agency.

#### **records**

All books, papers, maps, photographs, digitized record information, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

#### **records administrator**

Records official who serves on the MACOM staff and has command-wide records management responsibility throughout subordinate units and activities.

#### **records center**

A facility that is designed and constructed for low-cost and efficient storage of records, and for reference service on semicurrent records, pending their ultimate

disposition. NARA Federal records centers serving the Army are operated by GSA.

**records inventory**

A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems and usage data of an organization's records.

**records management officials**

A collective term used to refer to records administrators, records managers and records coordinators.

**records coordinator**

Records official designated at a sub-element as necessary for records management program execution.

**records holding area**

A facility established to collect and maintain cutoff hardcopy records until they are either eligible for destruction or retirement to a NARA Federal records center or other records depository. When located outside of the Continental US, these facilities are referred to as Overseas Command Records Holding Areas (OCRHAs).

**records manager**

Records official who generally serves at the major subordinate command level, field operating agency, direct reporting unit, separately authorized activities, tenant organizations, satellite organizations, Installation Management Agency regional levels, records holding areas, and on installation garrison staff with command-wide or organization-wide records management responsibilities.

**retention period**

The length of time that a record must be kept before it is destroyed. Records not authorized for destruction have a retention period of permanent.

**retention schedule**

A document providing mandatory instructions for what to do with records (and nonrecord materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records retention schedule, records retention and disposition schedule, or schedule. The Army records schedules are contained in the ARIMS RRS-A.

**retire**

The movement of records from an office, unit, or RHA into a NARA Records Center Facility.

**rights and interests records**

Records essential to the preservation of the legal rights and interests of individual citizens (including service members) and the Army. These records include: accounts-receivable records, social security records, payroll records, retirement records, insurance records, contract records, etc. Rights and interests records are one of two types of vital records; the other type being emergency operating records.

**roll microform**

Microform consisting of microfilm on reels, cartridges, or cassettes.

**source documents**

Documents containing images and/or data entered into a microform or electronic records system.

**special records collections**

A group of records that may or may not fall under the same series but which are considered to make up a collection based on common characteristics; for example, John F. Kennedy records collection.

**temporary records**

Records approved by NARA for disposal, either immediately or after a specified retention period.

**transfer records**

Records classified as "T" records which are long-term records with retention periods over 6 years and up through permanent. T records are transferred out of the CFA when no longer needed for business purposes.

**unscheduled records**

Records that have not been formally appraised by NARA for disposition.

**working papers**

Documents such as rough drafts, calculations, or drafts that are assembled or created and used in the preparation or analysis of other documents. These documents are also considered records and are filed under the appropriate ARIMS record number.